**College of Education Research Review Committee**

**Does my activity require review?**



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| Student Investigator Agreement |
| In submitting this proposed project and signing below, I certify that:   1. My thesis research or thesis project will not involve intervention or interaction with people AND I will not be obtaining private, individually identifiably information about living individuals; 2. I will present any proposed modifications in the research to the department/college committee for review and approval prior to implementation. |
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| Faculty Agreement for Student Investigators |
| I will supervise this student’s activity and hereby confirm the protocol complies with federal and University Policy regarding the protection of human subjects. |
| X\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Faculty Advisor Signature Date |

**Undergraduate/Master’s Student Investigator**

**Instructions:**

Students from a department/college listed below who plan on conducting human subjects research (and projects, if applicable) must submit an application to their respective committee using this application or their department’s own electronic submission process:

*Department/College using this application:*

- College of Education              - Social Work

- Nursing                                     - Sociology  
- Geography - Criminal Justice

- Public Policy and Admin - Psychology

*Departments using a separate electronic process:*

- Communication

If your department is not listed above, you must submit to the university IRB on our electronic review software, Cayuse IRB. Go to [www.csus.edu/research/irb](http://www.csus.edu/research/irb) for instructions.

**Application Checklist**:

Training is required prior to submitting an application. Please see our [Trainin](http://www.csus.edu/research/irb/training.html)g page for recommended courses and links.

Applications must be typed. Handwritten application will not be accepted.

You must attach your informed consent form, all data collection tools, interview questions, and/or recruitment flyers/emails.

Evaluation of risks in your research should consider all possible risks associated with your research. See the [Investigator Manual](http://www.csus.edu/research/irb/resources.html) for more.

**Submit Application:**

Submit this form to your departmental/college research review committee. If you do not know how or to whom to submit this application, contact your faculty advisor or professor for information.

**Questions**

Please speak with your advisor to answer questions. If they are still unanswered, email [irb@csus.edu](mailto:irb@csus.edu).

**College of Education**

**Undergraduate/Master’s Student Application**

Committee Protocol #:

Committee Use Only

**For Human Subjects Activities**

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| 1. Student Investigator Information | |
| Student Investigator: |  |
| Email: |  |
| College/Department/Division: |  |
| Status: | (To check box: double click box, click “checked”)  Undergraduate  Master’s Student |
| Activity: | Research  Project |
| Faculty Advisor: |  |
| Advisor Email: |  |

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| 1. Project Information | |
| Project Title: |  |
| NIH or CITI [certification](http://www.csus.edu/research/irb/training.html) attached: | No  Yes |
| Anticipated Start Date: | Cannot include a start date before the approval date. |
| Duration of Study: | Time from start of data collection until the end. |
| Are other institutions/agencies involved (i.e. campus, foundation, corp.)? | No  Yes: List name of institution:  If yes, attach letter of support from the institution.  A support letter is required if receiving support from a/an person/organization/agency (e.g., a Center on campus who is helping you distribute consent forms). |

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| 1. Project Overview |
| Purpose and Objectives of the Research / Project |
| Keep in mind the purpose/objectives must match why/how you are collecting your data. |
| Main Research Question or Hypothesis / Statement of the Problem |
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| Development of/Contribution to Generalizable Knowledge and Design of the Study (if applicable) *Generalizable knowledge* means conclusions, facts, or principles derived from particulars that are applicable to or affect a whole category and enhance scientific or academic understanding.  *Design* refers to the purpose of the research (i.e. archive results for future research, compare results to other assessments, or draw conclusions and thus contribute to generalizable knowledge). |
| **Thesis research:** the goal of your work is to gather information from a sample, and then generalize to a larger population.  **Project:** the goal of your work is NOT to generalize findings to a larger population. The goal of your work is to evaluate a program or product you are creating.  **Sample language:** The purpose of this project is to develop and implement a parent education workshop about children’s self-regulation. Participating parents will be asked to provide feedback on how to improve the workshop [*notice that the purpose is* ***not*** *about influencing psychological/behavioral change – it’s only about evaluating a product*]. The project does **not** contribute to generalizable knowledge.  For some Graduate Programs, your work includes a combination of both. For example, you may be gathering data from participants to then create a product to disseminate. Please be clear in describing the aspects of your work that is intended to gather information from human participants and how that information will inform the creation of a product you will disseminate. |

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| 1. Subject Population | |
| Who are the subject groups? |  |
| How are they recruited?(include copy of flyer or email ifadvertising for subjects) |  |
| Maximum enrollment: |  |
| Criteria for selection: | Be as specific as possible. |
| Criteria for exclusion: | Must be everything NOT specified in the selection criteria. |
| Will any special population be included? | Children (under 18)  Prisoners  Pregnant women, fetuses,  n/a neonates  Those who involve special populations OR undocumented individuals (e.g., DACA), must apply directly to the University IRB: <https://www.csus.edu/compliance/research-integrity-compliance/human-subjects-research.html> |
| Is an incentive offered? | No  Yes, *describe*: |
| How will real or perceived conflicts of interest be avoided? (e.g. asking your students to participate in your study) | The term “conflict of interest in research” refers to situations in which financial or other personal considerations may compromise, or have the appearance of compromising a researcher's professional judgment in conducting or reporting research. [https://coi.ucsf.edu/]  Also, conflicts of interest arise when there is an unbalanced power dynamic between investigators and potential participants.  Sample: The researcher is recruiting through the district, and is currently employed with an agency that contracts with the district; the researcher is choosing to exclude aides that have had previous working relationships with. The researcher is also choosing not to work with teachers with  preexisting working relationships.  Sample: I am a teacher at the research site. I know the families that will potentially participate. However, I have no power to change their children’s status in the school program if they choose/do not choose to participate. |

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| 1. Participant Experience | |
| Data collection procedures | |
| How long will participation take? |  |
| Where will the study be conducted? |  |
| From the participant’s perspective, describe what their participation entails from consent process to completion of participation. | Must detail the steps from the consent process to the completion of data collection. Think about detailing your study/project procedures here. For those using **audio recordings**, here is a recommendation for how to obtain consent: The researcher will first meet the participant, introduce herself and the study, and then review the consent form with them. During the consent form they will be reminded of what the study entails, the risk and benefit, permission to audio record and that they can stop participation at any time. After reading the form together they will be asked if they have any questions. After they have asked any questions regarding the study and their participation, they will be asked if they consent to participate and to choose pseudonym. Once consent has been obtained verbally the researcher will start the recording, and ask the participant to identify themselves using their pseudonym and to then repeat the statement of consent so that it is recorded. Please remember there is a difference between anonymity and confidentiality [this pertains to sections below as well]. Confidentiality Maintaining confidentiality of information collected from research participants means that only the investigator(s) or individuals of the research team can identify the responses of individual subjects; however, the researchers must make every effort to prevent anyone outside of the project from connecting individual subjects with their responses. Anonymity Providing anonymity of information collected from research participants means that either the project does not collect identifying information of individual subjects (e.g., name, address, Email address, etc.), or the project cannot link individual responses with participants’ identities. A study should not collect identifying information of research participants unless it is essential to the study protocol.  [https://www.irb.vt.edu/pages/confidentiality.htm] |

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| 1. Data Analysis and Maintenance | |
| How will data be recorded (notebook, computer files, audio tapes, online or paper surveys and questionnaires, etc.)? | |
| * If using audio recordings, direct and/or indirect identifiers will be collected. See below. * Online surveys should be completed on Qualtrics (supported by campus). When collecting data through Qualtrics, should NOT collect IP addresses.   **Data collection materials must be included with your application submission (e.g., copies of the online survey, interview questions, and/or observation protocols). Incomplete applications will NOT be reviewed.** | |
| Will direct or indirect identifiers be collected (i.e. name, address, audio/video, demographic information)? | |
| Yes 🡪  No | If yes, is it likely that identification of one or more subjects is possible based on the demographic information collected and the size of your maximum enrollment?  No  Yes 🡪 Keep this in mind while completing *Section G. Benefits and Risks* below. |
| Who will have access to the raw data *and* how will confidentiality be maintained during collection and analysis? | |
| Sample: The data will only be accessible to the researcher and sponsor of the thesis. The audio recordings will be transferred as an audio file to an external hard-drive that will be stored in a locked office. Once the audio recordings are transferred from the recording device to the external hard-drive, it will be deleted from the audio recording device. The audio recording will then be transcribed. Pseudonyms will be used in all interviews and subsequent transcriptions.   * For those using audio recordings, the Committee advises to obtain verbal consent on audio recording. Have participants read a consent form on recording. * Audio recordings should not be completed on a cell phone. Use a digital recorder. | |
| *How* and *when* will data be maintained or destroyed after publication/presentation (encryption, password protected, locked drawer; erase files, shred documents; 3 years after completion)? | |
| You may choose to keep data indefinitely for the purpose of publication and future presentations. However, you will need to explain how you will secure the data.  Sample: Data will be kept indefinitely with the possibility of publishing or presenting it. All data will be de-identified. Pseudonyms will be used in all interviews and subsequent transcriptions. | |
| Will medical records or other patient data be accessed? | |
| Yes  No | |

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| 1. Benefits and Risks | |
| **Note:** If there is a significant probability of any one subject being identified based on the information collected and the maximum enrollment of this study, evaluate the below risks appropriately. See [FAQ’s](http://www.csus.edu/research/irb/faqs.html) for tips on safeguarding your subjects. | |
| Describe the benefits to the individual (if any) and to society: | |
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| Physical Risk (i.e., devices, drugs, pharmaceuticals, exercise) Not applicable  Minimal  Greater than Minimal  This is TYPICALLY not applicable in educational/social sciences research. | |
| Describe minimal or greater than minimal risk: |  |
| Describe how this risk will be addressed/minimized: |  |
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| Psychological Risk (i.e., anxiety, stress, embarrassment) Not applicable  Minimal  Greater than Minimal  For most educational and social sciences research, this is MINIMAL. | |
| Describe minimal or greater than minimal risk: | Sample: Participants may feel uncomfortable/embarrassed answering some of the survey questions (e.g., they have had difficult experiences or situations or lack knowledge about the topic). |
| Describe how this risk will be addressed/minimized: | Sample: The researcher will reiterate that participants can skip questions at any time or end participation at any time. The researcher will also keep information confidential so that others cannot find out what the participants have said. |
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| Sociological and Economic Risk (i.e., employability, reputation, financial standing, criminal prosecution) Not applicable  Minimal  Greater than Minimal  This should be MINIMAL or GREATER THAN MINIMAL if participation can lead to the potential loss of employment (or even a sanction from an employer), loss of reputation, loss of financial standing, and/or criminal prosecution. | |
| Describe minimal or greater than minimal risk: | Sample #1: As an employee of COMPANY, the researcher may have/have had children of participants in her classroom.  Sample #2: Participants may fear that colleagues could find out about what they reported in the interview and fear repercussions at work due to this. |
| Describe how this risk will be addressed/minimized: | Sample #1: This is addressed in the consent form by stating that children will not lose status in the classroom and parent/guardian information will remain confidential. None of their information will be provided to the center director.  Sample #2: The researcher will remind participants that the information they share will be kept confidential and that she will not disclose their individual responses. They will not lose employment status and their participation will not damage their reputation at work. |
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| Confidentiality Risk (i.e., collection of identifiable information, data maintenance, potential access to data from outside parties)  Not applicable  Minimal  Greater than Minimal Almost all studies/projects in the College of Education should check this as MINIMAL. Please remember the distinction between anonymous and confidential. | |
| Describe minimal or greater than minimal risk: | Sample: Participants will be audio recorded during the semi-structured interviews. There will also be demographic information collected.  Also, consider protections for participants included in studies with small sample sizes. What protections will be included to prevent their identification? |
| Describe how this risk will be addressed/minimized: | Sample: The researcher will never use real names to identify the participants. The researcher will have participants provide a pseudonym on the audio recording and will only be referred to using their pseudonym. All information will be kept confidential [*notice that participants cannot be anonymous for interview studies*]. The researcher will also never disclose individual-level data. The audio recording will be deleted once transcription is completed. All data will be stored on a password-protected computer. |

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| 1. Informed Consent |
| Procedure for obtaining informed consent from subjects (see below for guidance): |
| Please describe your procedures. Attach your consent form – MUST USE THE UNIVERSITY TEMPLATES (<https://www.csus.edu/compliance/research-integrity-compliance/human-subjects-research.html>). Consent forms much include your contact information as well as your sponsor’s contact information. |
| Attach a copy of the informed consent form, email, or script. |

Exempt research must have an informed consent process, although there is flexibility as exempt research is not governed by the regulatory requirements. Below are examples of various ways to respect participant autonomy:

* Use the *Exempt Research* informed consent form templates on the [Resources](http://www.csus.edu/research/irb/resources.html) page.
  + If identifiers *will* be collected, it is best to obtain signatures.
  + If you are conducting *anonymous* paper or online surveys in which identifiers are not collected, alter the informed consent form so signatures are not required. The collection of signatures in this case would be the only identifiers, thus placing them at risk for loss of confidentiality. Informed Consent forms can be kept by the participant as an information sheet and their participation serves as consent.
  + In some cases, verbal informed consent is the best option, although this is rare. Use the Exempt Research Template as a script and ask for a verbal “Yes” or “No” for participation. Scripts will also need to be submitted with this application.

Remember

Informed consent forms are the only document your participant will see regarding your study. Respect your participants by using **common language** and ensuring they have all the necessary information to make an informed decision to participate or not participate.

1. Student Investigator Signature Page

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| Student Investigator Agreement |
| In submitting this proposed project and signing below, I certify that:   1. I will conduct the activity involving human subjects as presented in the protocol and approved by the academic unit and faculty supervisor; 2. I will present any proposed modifications in the research to the department/college committee for review and approval prior to implementation; 3. I will report to the department/college committee any problems or injuries to subjects. |
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| Faculty Agreement for Student Investigators |
| I will supervise this student’s activity and hereby confirm the protocol complies with federal and University Policy regarding the protection of human subjects. |
| Applications will not be reviewed if your faculty sponsor has not reviewed and approved this application.  X\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Faculty Advisor Signature Date |

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| Department/College Research Review Committee Determination |
| The Research Review Committee has reviewed this application and has determined one of the following:  Approval as exempt research (send Exemption Determination Form to [leah.vargas@csus.edu](mailto:leah.vargas@csus.edu))  Determination of research as non-exempt and advancement to the University IRB for further review |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Name of Committee Reviewer E-mail address |
| X\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Signature of Committee Reviewer Date |