**Hobart and William Smith Colleges**



**Institutional Review Board**

**Form A**

**Application to Conduct Research with Human Subjects**

**Directions**: This application is to be submitted to and approved in writing by the IRB ***prior*** to the initiation of any investigation involving human subjects.Please submit a signed, paper copy and an electronic version of your application with copies of all consent forms, surveys, questionnaires, interview protocols, and any other relevant documentation you plan to use to the Office of Academic and Faculty Affairs.

**PRINCIPAL INVESTIGATOR** *Name*: Click here to enter text.

*HWS Department Affiliation*: Click here to enter text.

*Campus Address*: Click here to enter text.

*Email Address*: Click here to enter text.

*Phone Number*: Click here to enter text.

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| **If the Principal Investigator is a student, a Faculty/Staff Supervisor must be identified to oversee the project. The Supervisor’s signature is required at the end of this form.**  *Name of Faculty/Staff Supervisor*: Click here to enter text.  *Supervisor’s Campus Address*: Click here to enter text.  *Supervisor’s Email Address*: Click here to enter text.  *Supervisor’s Phone Number*: Click here to enter text. |

**PROJECT** *Title*: Click here to enter text.

*Project Involves*:  Faculty/Staff research

Independently conducted student research

Other: Click here to enter text.

*Project Collaborators:* Click here to enter text.

*(Indicate institutional affiliation if non-HWS)* Click here to enter text.

*Anticipated* *Starting Date*: Click here to enter text.

*End Date (1-year maximum)*: Click here to enter text.

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| *For IRB use only*: Application # \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Submission Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_ Approved \_\_\_ Not approved Revision Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Print Chair’s Name Chair’s Signature Date |

**NATURE OF THE PROJECT**

1. Purpose of the investigation – *Provide a brief overview of the proposed research to be conducted and list the overall objectives of the study. How does the project contribute to the advancement of knowledge?*

Click here to enter text.

2. Description of methodology – *Clearly describe the research procedures you plan to use to meet the objective(s) of this project. Specifically, explain how the project will be conducted, data collected, and participants identified in line with the objective(s). Include copies of all scripts, surveys, questionnaires, interview protocols, and other relevant documentation you plan to use as appendices.*

Click here to enter text.

3. Plan of data analysis –*Once collected, how will the data be analyzed and used? What statistical/analytical methods will be used for the data to meet the objectives of this project?*

Click here to enter text.

4. Dissemination of findings – *How do you intend to disseminate the findings of this research project? Please check all applicable venues that may be used in disseminating the findings to others.*

Publication in an academic, scholarly, or other public domain

Publication in a public campus domain (ie, Honors thesis)

Publication in an internal program/department campus project

Presentation at an academic conference

Presentation at a campus conference/forum (does not include classroom presentations)

Presentation at an off-campus conference, community event, or other public forum

Distribution/sharing of data from the research with others

Contribution to another larger/related research project

Other – please explain: Click here to enter text.

None – please explain: Click here to enter text.

Click here to enter text.

5. External funding source –*Will this project be funded by a grant from the U.S federal government, a state or local governmental agency, or another external funding source? If so, please name the funding agency and explain.*

Click here to enter text.

**PARTICIPANT POPULATION**

6. Category of participants – *Check all the different categories of participants to be used in this project. Provide a justification for the inclusion of vulnerable subjects (children, pregnant women, the elderly, prisoners, and cognitively impaired persons) as a targeted category in this project and describe any additional safeguards that will be used to protect their rights and welfare.*

Adults

Children and minors (under 18 years old)

Pregnant women, fetuses, or neonates

Institutionalized persons (e.g. in prison)

Cognitively impaired persons (e.g. persons with psychiatric, cognitive or developmental disorders; or persons under the influence of alcohol or drugs)

Other: Click here to enter text.

Click here to enter text.

7. Institutional affiliation of participants – *Identify any institutional affiliations and groups that will be targeted for participation. Check all that apply and clarify as necessary.*

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Schools: Click here to enter text.

Hospitals: Click here to enter text.

Other: Click here to enter text.

None – please explain: Click here to enter text.

Click here to enter text.

8. Estimated number of total participants (including those to be solicited and recruited): Enter text.

Estimated number to be studied: Enter text.

9. Participant solicitation and recruitment –*Check all methods for the solicitation and recruitment of participants in this research project. Include any scripts, posters, announcements, or other methods to recruit participants. Describe when, where, and how potential participants will be recruited.*

Advertisements (posters, handouts)

Telephone

Letter

Class announcements

Research participant website (SONA) or other class requirement/expectation

Email

Social media

Other – Click here to enter text.

Click here to enter text.

**PARTICIPANT CONSIDERATIONS**

10. Participant incentives – *Will any inducements (e.g. money, course credits, gift cards, or other compensations) be offered in exchange for participation in this research project?*

No

Yes – *Please describe the nature of the inducements and how they will be distributed across participants.*

Click here to enter text.

11. Potential harm to participants – *Are participants at risk of incurring any psychological, social, reputational, physical, sociological, economic, or legal harm as a consequence of their involvement in the research? Will participants be exposed to any psychological distress associated with* a) *experimental manipulations;* b) *probing for information that might be considered personal or sensitive; or* c) *exposure to materials or social interactions that might be considered offensive, threatening, or degrading? Are there any risks to participants if their identities were known outside of the research? Are there any risks to individuals who are not participants?*

No

Yes – *Please describe the nature and likelihood of the potential harm, how it is justified for this project, and how the risks will be minimized and/or addressed.*

Click here to enter text.

12. Participant deception – *Will participants be deceived or misled in any way during their participation? Will information be withheld from them?*

No

Yes – *Please describe the nature of the deception and attach to this form all written materials and scripted verbal statements that will be misleading or deceptive. Describe the debriefing process and include copies of all debriefing statements.*

Click here to enter text.

13. Withdrawal of participants – *How will participants be informed and/or reminded of their rights to withdraw from the project as a whole or parts of it? Under what circumstances, if any, might participants be withdrawn from the project? How will the data from participants that withdraw or are withdrawn be handled?*

Click here to enter text.

**VOLUNTARY PARTICIPATION AND INFORMED CONSENT.**

*Note that this section does not apply to unobtrusive observations of public behavior.*

14. Voluntary participation – *Describe the steps that will be taken to ensure that participation in the research is voluntary. How will you ensure and document that consent is obtained without real or implied coercion or undue influence? Please append to this form any script or information to be provided by the researcher or written materials to be given to participants that explains the nature of their participation. Please also explain how the researcher will ensure that participants have freely agreed to participation and are aware of the purpose of the project and their rights and responsibilities.*

Click here to enter text.

15. Informed consent – *Federal law requires that, except in special circumstances, informed consent must be obtained for research involving human subjects. Will a written consent form be provided?*

Yes – *Please attach the consent form to this application.*

No – *Please provide a justification.*

Click here to enter text.

*For research involving non-HWS students who are minors or who have legal guardians, will consent be obtained from the minors’ parents or legal guardians as well as the participant? Please explain and include copies of any forms/scripts to be used.*

Click here to enter text.

*Note that information on informed consent and a sample consent form can be downloaded from the Hobart and William Smith IRB web page. All consent forms must* (a) *explain the purpose, procedures, and duration of the project,* (b) *describe any reasonably foreseeable risks, discomforts, and benefits from participation,* (c) *describe the manner in which confidentiality will be maintained,* (d) *provide contact information for the researcher should questions arise in the future, and* (e) *state that participation is voluntary and the ability of participants to withdraw from the project. Consent forms also must be presented in a language understandable to the participant and must indicate that any inquiries regarding concerns about the participant’s rights, or any other aspect of the research as it relates to subject’s participation can be directed to the Hobart and William Smith Colleges Institutional Review Board. Such inquiries should be directed to:*

IRB Chairperson \*

Office of Academic and Faculty Affairs

Hobart and William Smith Colleges

300 Pulteney Street

Geneva, NY 14456

*\*As the IRB chairperson may change, please use the title “IRB Chairperson” and not the name of the current occupant of that position.*

16. Institutional consent – *If you are doing research at a school, business, or other institutional facility/establishment, how will you inform individuals responsible for the management of that establishment of the research and obtain their approval to conduct the research? Please include any sample scripts or letters as an appendices or confirmations that may have already been secured.*

Click here to enter text.

**ANONYMITY AND CONFIDENTIALITY**

17. Anonymity – *Anonymity refers to the inability to identify subjects by anyone, including the researcher. Will data be collected and/or recorded in such a way that individual human subjects can be identified by the researcher(s) or others?*

No

Yes – *Please explain the nature of the information, the manner in which it will be collected and recorded, and the steps to protect the anonymity of participants.*

Click here to enter text.

18. Institutional source of information – *Will any personal data be drawn from institutional files, documents, artifacts, or archives (e.g. school files)?*

No

Yes – *Please explain the source and nature of this data.*

Click here to enter text.

19. Data access and management – *Explain who will have access to the collected data and how the data will be securely stored. What steps will be taken to limit access to identifying information? What precautions will be taken to protect stored electronic files on electronic devices?*

Click here to enter text.

20. Confidentiality – *Describe the steps that will be taken to ensure confidentiality of all personal data collected. Be specific. How will confidentiality be preserved as data are collected, stored, analyzed, and published? How will you ensure that research personnel (including students) understand their responsibilities in maintaining confidentiality? How will data identifying individual participants be destroyed?*

Click here to enter text.

**ASSURANCE STATEMENT**

I confirm that the procedures described above are accurate and will be followed in the course of the research project. I have completed the online Human Participant Protections Education Training Course within the last ten years and am including a copy of my certificate to that effect. I will notify the IRB of any changes to procedures and if unanticipated problems arise during the research process.

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Signature of the Principal Investigator Date

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| **For Faculty/Staff Supervisors of Student Research:**  Federal guidelines mandate that research be of sufficient merit to justify the participation of human subjects. In the case of student research, the responsibility for determining merit is shared with the student’s supervisor. By signing below, I acknowledge that I have reviewed the proposed project with the student researcher named above and find the research to be of sufficient merit to justify the use of human participants. I acknowledge my responsibility for protecting the rights and welfare of human research participants, ensuring compliance with IRB protocols and expectations, and assisting the student researcher in the effective administration and conduct of this project. I also acknowledge that I have completed the online Human Participant Protections Education Training Course within the last ten years.  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Signature of Faculty/Staff Supervisor Date |