RIVERLAND
Community College

INSTITUTIONAL REVIEW BOARD PROCESS & APPLICATION
Riverland Policy #1R.1

LIST OF REQUIRED APPLICATION MATERIALS
INSTITUTIONAL REVIEW BOARD

1. Cover page
2. Summary of proposed research
3. Participant population
4. Recruitment of participants
5. Informed consent process
6. Confidentiality of data
7. Risks and benefits
8. Consent form

Instructions

Riverland Community College policies and federal regulations require that each project involving research with human participants be reviewed to consider whether:

- Risks to participants are minimized,
- Risks to participants are reasonable in relation to anticipated benefits,
- Appropriate support and counseling is in place for participants put at risk,
- Informed consent is sought from each prospective participant or legally authorized representative,
- Adequate preparation is taken to protect the anonymity and/or confidentiality of participants,
- Participants are debriefed on their involvement,
- Participants understand their right not to participate in the research with no penalty, and
- Adequate safeguards are included if participants are in some way vulnerable.

“Human subject” is defined in U.S. Federal Policy as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information” (45 C.F.R. 46.102[f]).

The term “research” here refers to systematic data collection done with the intent to communicate findings to the community in some fashion (for example, in a publication or conference presentation).

In general, the Institutional Review Board (IRB) aims to accomplish these goals by assisting researchers in anticipating circumstances that may put research participants at risk and helping them to remedy such problems. However, the ultimate responsibility for treatment of research participants rests with the researchers involved. IRB review is specifically required when

- Information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects. (46.101b 2i)

- If any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. (46.101b 2ii)

- Research involving elected or appointed public officials or candidates for office. (46.101b 3i)

- Federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter. (46.101b 3ii)

Given this, several types of activities are not intended to fall under IRB review. These include:

- Research in common educational settings, involving normal or special educational practices. (46.101b 1)

- Research involving educational tests, surveys, interviews, or observations unless confidentiality cannot be maintained or disclosure places the participants at risk. (46.101b 2)

- Research involving the study of existing data either publicly available or recorded by the researcher(s) in a manner that maintains confidentiality. (46.101b 4)

- Institutional or organizational research designed to improve service or benefits when approved by the agency's head. (46.101b 5)

To have your research reviewed, complete each of the components in the following checklist. Applications should be sent electronically or via mail. Please submit all materials by emailing the Director of Institutional Research or by mailing the documents to the following address:

Chair, Institutional Review Board
Riverland Community College
1900 9th Avenue NW
Austin, MN 55060

Please allow 4 weeks for review. No research may be initiated prior to formal written approval from the IRB.

Checklist for Submitting a Complete Application

_____ 1. All questions on the application have been completed in a thorough fashion.

_____ 2. If individuals under the age of 18 are participating, a consent form adapted for parents is provided. This must include a line for parents to indicate their consent.

_____ 3. If this study requires approval of another Committee or cooperating agency (such as an external IRB in case the research originates from an external institution), documentation of approval or notice of application has been attached.

_____ 4. Appropriate signatures have been provided.

_____ 5. All supporting documents have been attached. This includes: consent forms; survey instruments, with specific or guided interview questions; solicitation letters/flyers/advertisements; and researcher certifications on Human Subjects Protection. *Supporting documents must be in final form as you intend to use them. Your application will be returned if these documents are in outline or first draft form.*

APPLICATION FORM
INSTITUTIONAL REVIEW BOARD
RIVERLAND COMMUNITY COLLEGE

Cover Page

1. **Project Title** (use same title as grant title/application, if applicable):

2. Is this research being sponsored or paid by an external funding agency or grant?

3. **Faculty/Staff Principal Investigator (PI) Contact Information** (must be a Riverland Community College employee)
   a. Name:
   b. Department:
   c. Mailing address:
   d. Phone number:
   e. E-mail address:

4. List other project staff on this research project. Include full name, contact address, phone, and email.

5. Describe the role each staff and their qualifications to participate and contribute to this research project.

6. Has each member, including the PI, completed a Human Subjects Research training? (e.g. CITI Human Subjects Research https://about.citiprogram.org/en/series/human-subjects-research-hsr/ or NIH's Protecting Human Research Participants (PHRP) training https://phrptraining.com/) Please attach certifications including date of completion as Appendices.

   ☐ **No** ☐ **Yes**

7. **Inclusive Dates of Project:** (Starting date should be at least 4 weeks from date of IRB submission)

8. **Institutional Oversight:**
   a. Is this research subject to review by another internal committee at Riverland Community College? ☐ **No** ☐ **Yes**

   If yes, please indicate:

b. Is this research being conducted at another location or with a cooperating organization (for example: schools, clinics, community agencies, etc.)? ☐ **No** ☐ **Yes**

c. If you answered "yes" to either a or b, please provide more details (as well as written documentation of approval from the relevant committee and/or organization):

Summary of Proposed Research

Please use lay language to answer the following questions.

1. **Briefly describe your rationale, research questions, and hypotheses for this proposed research.** Include enough background information to understand your rationale and hypotheses at a basic level.

2. **Describe in detail the methods you propose to use in this research** (including the frequency and duration of procedures, tests, and experiments). As a part of this, clearly describe the tasks participants will be asked to perform. Make sure to attach all surveys, instruments, interview questions, focus group questions, etc. that you intend to use. These must be in final form as you intend to use them.

3. **Describe the data analysis that will be performed in this research.** How will the data be analyzed? Who will participate in the analysis?

Participant Population

1. **Expected Number of Participants:**

2. **Expected Age Range** (check all that apply)

☐ 0 – 17 years (include parental consent form) ☐ 18 years and older

3. **Vulnerable Populations** (check all that apply)

☐ Students with Disabilities ☐ At-Risk Populations (including developmental education, adult basic education)

☐ Veteran Students ☐ Underserved Populations

Explain why the inclusion of these participants is important.

4. **Describe the location(s) from which you will be recruiting participants**. As a part of this, describe any criteria that you have for participants to be included or excluded.

Recruitment of Participants

1. **Describe how participants will be identified and recruited.** As a part of this, describe any incentives that will be used to motivate participation and how you will handle those who decline to participate. Attach a copy of all recruitment materials to be used (such as advertisements, bulletin board notices, e-mails, scripts, and URLs).

2. **Describe who will approach potential participants to take part in the proposed research and their position** (for example, principal investigator, student research assistant, instructor in the course):

3. **Use of Records:**
   a. Will participants be identified from records of some kind?

   ☐ **No** ☐ **Yes**

   b. If "yes", are records "private" medical or student records?

   ☐ **No** ☐ **Yes**

   If your answer to 3a is "yes", be sure to include written approval for the use of records in this research. If your answer to 3b is "yes," provide the protocol, consent forms, letters, etc. for securing consent from the record holders.

Informed Consent Process

1. **In relation to the actual data gathering, when will consent be discussed and obtained?** Be specific. How will this process be modified if you are involving individuals under the age of 18 to obtain the consent of parents?

2. **Who will be securing informed consent**? Name all of the individuals and their positions (for example, primary investigator, student research assistant, and instructor in the course).

3. Describe what specifically will be said to potential participants to explain the research.

4. What specific questions will be asked to assess participants' understanding of the risks and benefits of participation?

5. Provide the documents used for consent or the language used for assent. (Consent either electronically or signatory to participate; Assent is assumption to participate by continuation)

Confidentiality of Data

1. Will you record any direct identifiers (names, student identification numbers, social security numbers, addresses, telephone numbers, etc.) along with the data?

   ☐ **No** ☐ **Yes**

2. Will you retain a link between study code numbers and direct identifiers after the data collection is complete?

   ☐ **No** ☐ **Yes**

3. Will you provide identifiers or links to anyone outside the research team?

   ☐ **No** ☐ **Yes**

4. If you answered "yes" to any of the above three questions, please explain why this is necessary and what you will do to ensure the confidentiality of your participants.

5. Will any data requested result in identification when combined with other aspects of research reporting? (e.g. one student in a class who made a "C", the Asian-American student, or reporting of less than 10 respondents)

6. If data is to be de-identified before analysis, when will that occur and who will have access to the data before and after it is de-identified?

7. Describe **where, how long, and in what format you intend to keep the data** (such as paper, digital or electronic media, video, audio, etc.). Also, describe what security provisions will be taken to protect this data (for example, password protection, encryption, etc.).

Risks and Benefits

1. **Does this research involve any of the following possible risks or harms to participants?** (Check all that apply)

   _____ a. Use of deception

   _____ b. Use of private records (agency, educational, or medical)

   _____ c. Manipulation of psychological or social variables such as sensory deprivation, social isolation, or psychological stress

   _____ d. Any probing for personal or sensitive information in surveys or interviews

   _____ e. Presentation of materials that participants might consider sensitive, offensive, threatening, or degrading

   _____ f. Possible invasion of privacy for participants or their families

   _____ g. Social or economic risk

   _____ h. Physically intrusive procedures

   _____ i. Other, please specify _____

2. **Describe the nature and the extent of the risk/harm checked above.** The described risks/harms must be disclosed in the consent form.

3. **Explain what steps will be taken to minimize risks or harms and to protect participants' welfare. (If students will be referred to Riverland counselors, please provide letter of support from the counseling department.)**

4. **Describe how participation in this research may benefit participants directly** (for example, course credit of some kind) **or indirectly** (for example, contribution to knowledge in the field, improved self-knowledge).

5. **Describe how this research may benefit society and how these benefits outweigh the risk for the participants.**

Reporting

1. **What are the intended publications, presentations, or outlets for this research to be presented?** (Including use in master's theses or doctoral dissertations.)

2. **Will Riverland Community College administration be provided a copy of midterm and/or final reports before they are published or presented?**

Signatures for Approval

Institutional Research Board - Committee Chair Date

College President Date