



Institutional Review Board Application Form
For
STUDENT, FACULTY, and STAFF RESEARCH

Primary Researcher: NAME

Role:

Primary Researcher: Home Address

Primary Phone Number(s)

Cell:

Work:

NLU E-Mail Address: _____

(Note, communication regarding IRB will be done via your NLU account)

College/Dept:

Campus:

Research Title:

Anticipated Data Collection Start Date: _____

*This project cannot begin until IRB has issued an approval letter.



SIGNATURE PAGE

Certification

I certify that I have read and understand the policies and procedures for research projects that involve human participants and that I intend to comply with University Policy. Significant changes in the study protocol need to be submitted on a *Change of Status of Continuing Research Form* for review prior to those changes being put into practice.

List of Secondary Researcher(s): *Faculty, Staff, Student, and/or External Partners*

Name:

Email:

Date:

Check only one of the following to indicate the review level into which this research falls according to *Title 45, Code of Federal Regulations, Part 46*. Please see the following page for a description of each review level and category status for your research.

- ☐ Project is referred for exempt level review.
- ☐ Project is referred for expedited review.
- ☐ Project is referred for full IRB review.

Primary Researcher:

Signature* _____ Date: _____

APPROVAL SIGNATURE FOR STUDENT RESEARCH

Committee Chair/Primary Advisor: *My signature indicates I have fully reviewed this application and found that it meets all IRB requirements.*

Signature of Committee Chair/Primary Advisor: _____

Chair/Advisor NLU Email Address: _____ **Date:** _____



CATEGORY STATUS

Exempt Status

Research requiring an exempt review level involves only minimal risk to the human subjects involved. The declaration of exemption, together with accompanying documentation, is filed with the IRB.

Your research is exempt if it fits into only one of the following categories:

Categories (CHECK THE ONE THAT BEST APPLIES):

- ☐ It is carried out in common educational settings and involves regular or special educational practices
- ☐ It involves educational tests, surveys, interviews, or observation and that maintain confidentiality and do not place the participants at risk through disclosure (Note--if you are interviewing or surveying minors, your research is not exempt)
- ☐ It involves the study of existing data that is publicly available.

Expedited Review

Research requiring an **expedited** review must first fit one of two criteria AND then fall into at least one of three categories. Please first determine and check the criteria, and then determine and check the category.

Criteria (CHECK THE ONE THAT BEST APPLIES):

- ☐ Research involves no more than minimal risk. (Category Number: 46.110b 1)
- ☐ Minor changes are proposed in previously approved research. (Category Number: 46.110b 2)

Categories (CHECK THE ONE THAT BEST APPLIES):

- ☐ The collection of biological specimens or data for research purposes by non-invasive means;
- ☐ Involves materials (data, documents, records, or specimens) collected solely for non-research purposes (such as medical treatment or diagnosis);
- ☐ Uses survey, interview, program evaluation, or quality assurance methodologies and deals with a) topics that are outside of regular classroom practice for school based research (e.g. pregnancy, bullying, and dropping out of school, being fired from a position); and/or b) topics are sensitive in nature (e.g. adoption, rehabilitation from alcohol abuse) and/or c) involves vulnerable populations

Full Review

- Any research that does not meet the criteria for Exempt or Expedited reviews requires a Full Review by the IRB Board. Examples are research projects in which participants would undergo significant risk from identifying disclosure of research results, such as criminal activity.

Narrative Description of Research

In addition to completing the checklist and the signature forms, please submit a narrative description of your research that clearly addresses each of the following points. As you complete the narrative, keep in mind that the Institutional Review Board's (IRB's) primary concern is the potential risk—physical, emotional, or other—to the participants, as well as the protection of their rights. Thus, the IRB must have enough information about the transactions with the participants to evaluate the risks of participation. Assurance from you, no matter how strong, will not substitute for a description of the transactions and the inclusion of all related documents. For this reason, you must provide copies of all surveys, questionnaires, consent forms or other documents to be used in the inquiry.

Please submit the narrative separately as a Word document.

1. **Research Purpose:** Please give a brief summary (1-2 paragraphs) of the purpose of your study, in non-technical terms. Please do not include a literature review (if applicable, 1-3 citations can be included as part of your summary).
2. **Participants:** Explain in detail 1) who your participants will be (e.g. teachers, students, members of a community organization), 2) number of participants, 3) participant demographics (ages, gender).
3. **Recruitment:** Explain how you will recruit participants and ensure they do not feel coerced into participation.
4. **Data collection:** Describe how you will collect information for your study. Please be precise and include all data collection methods (e.g. semi-structured interviews, surveys, observations). Please include frequency of data collection and the duration of time participants will spend in each data collection activity. **As stated above, please submit all data collection instruments with your IRB application.**
 - a. For classroom-based studies (typically, action research and/or self-study), your data collection may include regular classroom processes (e.g. reflective journals, student work samples, exit tickets, classroom or small group discussion). Please briefly and clearly describe these processes if they are to be used in your research; however, you do not need to submit the actual forms used in regular classroom processes (e.g. blank exit tickets, quizzes, or journal instructions).
5. **Risks and Benefits:** Describe any potential risks and/or benefits (emotional, physical, political, social, or economic) to your participants.
 - a. If more than minimal risk is involved, explain: 1) who the knowledge to be gained and/or the benefits to the research participants from the proposed research justify the risk participants may incur, 2) what, if any, support services will be provided in the event of harm to a participant.
 - b. If little to no risk is anticipated, please use the phrase "no greater than that of everyday life" to describe the risk level.
 - c. If applicable to your classroom-based research, please explain your procedures for providing educational equity to any students not participating in the study.
6. **Consent and Assent:** If needed, describe how you will obtain informed consent and, if applicable, assent. Append all consent/assent forms (please see guidelines that follow for form development).
7. **Conflict of Interest:** Please review the Conflict of Interest form available on the [NLU IRB website](#). If any of the listed conditions are part of your research or any other conditions that you see as a potential conflict of interest, please complete and append that form.

FOR EXPEDITED OR FULL APPLICANTS, ONLY

Please additionally describe the following;

1. If minors are involved, describe the procedures for obtaining assent to participate from the minors capable of giving consent, as well as the procedures to obtain parental or guardian consent.
2. If risk is involved, explain how the knowledge to be gained and/or the benefits to the research participants from the proposed research justify any risks the participants might incur.
3. Explain what, if any, support services will be provided in the event of harm to a participant.



NLU Institutional Review Board
INFORMED CONSENT DOCUMENT(S)

REQUIRED ELEMENTS

The informed consent form must include ALL of the following. Please see sample on IRB website:

1. Researcher affiliation: Provide a statement identifying the researcher's affiliation with National Louis University, if appropriate.
2. Purpose: Provide a brief description of the purpose of the study in language participants can clearly understand.
3. Data collection: Inform participants of what their involvement will entail. Clearly state all types of data that you expect to collect (e.g. observation, interview, survey). For each *type* of data, indicate the amount of participant *time involved* and *number of times* collection will occur (e.g. 3 individual interviews lasting 30 min.). Append all data collection instruments (e.g. surveys, observation protocol, interview protocol).
4. Risk/Benefits: Identify the anticipated risks and/or benefits (emotional, physical, political, social, or economic) to the participants.
5. Voluntary nature: Indicate that participation is voluntary and participants have the right to withdrawal at any time without negative consequences.
6. Confidentiality: Explain how confidentiality will be protected. (If you are using audio or video that will be viewed outside of data analysis, explain this in your form.) Indicate who, if anyone, will have access to your data (e.g. transcripts, field notes). Also, identify where data will be held and how it will be secured. Finally, identify what will happen to audio/video recordings upon completion of the research.
7. Sharing results: Provide an offer to make research available, in some form, to participants.
8. Contact information: Provide contact information for participants to ensure any questions about the research and participant rights are fully answered. That includes the name, title, word address, telephone number, and email address of 1) researcher; 2) current IRB chair(s); and 3) advisor/chair (if researcher is a student). (See IRB website for current contact information.)

Please note:

- If participants speak a language other than English, assent and consent forms must be submitted in English and the language spoken by participants.
- Before data collection, you must secure two copies of the signed consent form (a copy for you and the participant). Verbal consent is not acceptable, consent must be in writing on an IRB approved consent form.
- A letter of agreement may be required from the cooperating institution or organization. It is the researcher's responsibility to inform and obtain permission to conduct the study.
- Vulnerable populations include minors, prisoners, disabled persons and pregnant women. If participants include vulnerable populations, ensure that participation is voluntary. This may extend to researchers who serve in a supervisory and/or evaluative capacity in relationship to participants (e.g. principals, curriculum directors). For such circumstances, additional elaboration is required to indicate how participants will not feel or be coerced or influenced to participate. Additionally, if a participant is disabled and over 18, consent of a legal guardian is required.