

**APPLICATION FOR REVIEW/APPROVAL
RESEARCH INVOLVING HUMAN SUBJECTS
(Word Version, FORM A)**

This is a sample of the IRB Form submitted to Regis University; please note that all items that have been highlighted must reflect your campus specific information!

TO: IRB, Regis University
Main Hall, Room 452, Mail Code H4

Date: March 18, 2010

Principal Investigator(s): Lauren Alweis for system wide CCC
Address: 3333 Regis Blvd, B-7, Denver, CO 80221
Telephone: 303-458-4193 **Email:** compact@regis.edu

Local Administrator/Co-PI: [your name]

Address: [your information]

Telephone: [your information] **Email:** [your information]

Academic Department or School: [your information]

Faculty Advisor (student projects): N/A

Project Title: Faculty Engagement Survey

1. Are investigational drugs to be used?

Yes _____ No ___X___

2. Will you be using patients and/or facilities of a health care agency as a part of this study?

Yes _____ No ___X___

If **YES**, after approval by this Committee your proposal must also be approved by the appropriate review board within that facility.

Category of Research which is Exempt from HSRC Review (federal regulation 45 CFR 46):

Category 2 – Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior, unless: (a) information obtained is recorded in such a manner that the human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of

criminal or civil liability or be demanding to the subjects' financial standing, employability, or reputation. (46.101[b][2]).

Materials addressing numbers three through seven are to be either filled in under the questions or, if appropriate, attached.

3. Project description in relation to human subjects. Attach a brief summary of the problem to be investigated, the questions being asked, the methods or instruments to be used, the subject population to be studied, and the method of subject selection and recruitment. Include sufficient detail, including samples of protocols and/or data collection instruments, that the Committee can assess any potential hazards.

Summary of Research Question:

- (1) In what ways are higher education faculty involved in service-learning and/or community based research? How did they become involved?
- (2) What specific elements do faculty members identify as challenging to and supportive of the use of service-learning and/or community based research into their own work?
- (3) How are faculty personally and professionally affected by their use of service-learning and/or community based research?

The **population** being studied is college and university faculty who choose to participate on a voluntary basis. The population for this research project will be all college and university faculty from Colorado Campus Compact member institutions. For the purposes of this specific application, the population will be all **Regis University faculty**, including both those who do and do not incorporate service-learning and/or community based research into their work (approximately **2,000 faculty**).

Methodology: Faculty members will be invited to complete the voluntary, anonymous, web-based survey (see *Appendix A and B*). Completion should take approximately 10-20 minutes for respondents who incorporate service-learning and/or community based research into their work, and about 5 minutes for those who do not. Survey responses will be stored on the Question Pro website (questionpro.com), using a Colorado Campus Compact account that will be accessible only to Project Investigator and Contracted Researcher. CCC's Contracted Researcher, Dr. Kate Cumbo, will work with the Project Investigator to conduct data analysis after the qualitative and quantitative raw data have been divided into separate data banks. Quantitative data will be exported from the Question Pro website to Excel files that will be stored on Colorado Campus Compact's secure server. Only the Project Investigator will have access to the raw data and will monitor, review, and analyze the qualitative data and conduct and/or supervise the quantitative data analysis. Project findings will be shared with Colorado Campus Compact members and staff, as well as with key stakeholders, including individual campuses that participate in the survey, and the broader service-learning/community engagement community. At no time will any individual faculty members' responses be highlighted; only aggregate data will be reported.

The Faculty Engagement Survey evolved from a survey designed and implemented by the Utah Campus Compact (2006). The Community-Based Learning Faculty Survey designed by Campus Compact (2001) provides an additional example of comparable surveys utilized in previous research. The Faculty Engagement Survey was piloted within the Western Region in 2008 and implemented in Colorado and the western region in 2009.

The study will use a **mixed methods approach**, both in inquiry and data analysis. The survey consists of quantitative and qualitative questions to explore each of the research questions listed

above. This will allow the Project Investigator to both analyze survey data across common sets factors or possible question responses, and develop a more in-depth understanding of survey participants' experiences across an unlimited range of responses. Given the exploratory nature of this research project, no controls will be used.

The Faculty Engagement Survey Project **design** is modeled after the above-mentioned project led by the Utah Campus Compact (2006), in terms of purpose and methodology. The design is also similar to a research project led by Meaghan E. Mundy (2004), which explored factors impacting faculty participation in service-learning and faculty outcomes via a survey distributed to faculty at 15 higher education institutions.

Recruitment is done on-campus through Directors of Service Learning, Academic Department Heads, Deans encouraging faculty to voluntarily participate by using campus e-mails, campus web-sites and flyers. Faculty members will be contacted via email invitation to voluntarily participate in the web-based Faculty Engagement Survey (*see Appendix A*), which will be linked to the email message. For example, at **Regis University**, this will involve contacting the Faculty Senate president and gaining approval from the Executive Council to access faculty email addresses.

4. Risk/Benefit assessment. Assess the risks and potential benefits of the investigation.

Potential Benefits to the Field: This project will collect common data across Colorado Campus Compact members identifying (a) current service-learning and community based research practices; (b) possible strategies to motivate and support new faculty to do service-learning and/or community based research; (c) best practices by which to support faculty who already incorporate service-learning and community based research into their work; and (d) the potential effects of service-learning and community based research on faculty.

Potential benefits to the subjects: Identification of best practices may benefit those interested in further developing their service-learning and/or community based research strategies.

Assessment of Risk: The Faculty Engagement Survey does not solicit names or any other identifying information from survey respondents. No one at any time will be able to view survey responses attached to a respondent's name.

Although this research project will not collect data from identified subjects, steps will be taken to maintain confidentiality of the data. The database of survey responses will be stored on a Question Pro account accessible only to the Project Investigator; data will also be stored within limited-access electronic files on Colorado Campus Compact's secure server. At no time will any individual faculty members' responses be highlighted; only aggregate data will be reported.

Responses will, however, be linked to specific institutions. The Project Investigator will protect the possible loss of privacy by keeping the data secure (see above), and only providing campus-specific aggregate data to participating campuses with 20 or more survey respondents.

5. Provision for informed consent. Provide details of informed consent procedures to be used, including samples of project descriptions to be given to subjects and consent forms to be used.

We are requesting a waiver of the requirement to document informed consent due to the minimal risk to subjects and the increased risk of loss of privacy if signed informed consent forms are required. Language describing informed consent has been incorporated into the survey

directions/introduction (see *Appendix B*), and participating faculty will provide informed consent by choosing to respond to the survey (see *Appendix A*).

6. Additional ethical considerations. Describe provisions for anonymity or confidentiality and any additional measures not previously addressed taken to protect the rights and safety of subjects.

The following proposal – regarding survey implementation/documentation that will be managed by Colorado Campus Compact office– was approved by Western Washington University’s Human Subjects Review Committee on December 17, 2008. Western Region Campus Compact Consortium granted CCC the free use of the Faculty Engagement Survey December 18, 2009.

(1) Each participating campus has designated a representative to support the Faculty Engagement Survey project on that specific campus. This campus representative is responsible for (a) requesting and securing exemption approval from her/his campus’s Institutional Review Board (IRB) office for the Faculty Engagement Survey Project methodology and the campus’s participation in the project; (b) determining and following through on the processes and protocols involved in securing faculty email addresses on her/his campus and obtaining permission to email the survey and related notifications to each of these faculty members; (c) determining a consecutive two-week period between April 15, 2010, and Nov 15, 2010, in which faculty will have the opportunity to complete the Faculty Engagement Survey on her/his campus; and (d) electronically distributing communications to faculty members (i.e. invitation to participate along with a link to the online survey; reminder to participate in the survey one week after the survey begins) using language developed by the Project Investigators listed on our application.

(2) A unique consent form will be developed for each participating campus using the Faculty Recruitment Email Template (see *Appendix B*). Each campus consent form will include the following state-and campus-specific contact information: (a) Appropriate University or College representative’s name; and (b) “[insert HSR/IRB contact information]” will be replaced with the campus’s HSR/IRB point of contact.

(3) Colorado Campus Compact will collect the following from each other member within thirty (30) days of when the survey is implemented on each participating campus after survey implementation:

- Documentation from each participating campus confirming both human subjects permission and permission to use the campus-specific faculty email list (or equivalent) for this specific project;

- A list of HSR/IRB contacts per participating institution

7. Research funding. If research is supported by grant, give source of funding.

N/A

Note: Research must be resubmitted for approval, if changes are made in the research plan that significantly alter the involvement of human subjects from that which is described by this application.

Signature of Principal Investigator: *Lauren Alweis*

(Note: if this document is being sent electronically, your typed signature will be considered as your signature)

Date _____

Signature of Faculty Advisor _____

Note: if this document is being sent electronically, by a faculty member who is doing the research, a typed name indicates signature for a faculty member. However, if the IRB is for a student, the faculty advisor must send an email affirming his/her approval. This email should (1) indicate that the faculty advisor has read the application and (2) agrees with the information provided on the form.

Date: **March 18, 2010**

The space below this line is for the use of the Institutional Review Board.

Action of Institutional Review Board:

1. Exempt according to condition _____
2. Approved by expedited review _____
(reviewer, date)
3. Approved in general and specific details.
4. Approved in general with specific details to be resubmitted.
5. Disapproved for the following reasons:

Signature:

Form B

Regis University
Exempt Research Categories
(45 CFR 46.101b)

For IRB use only IRB File No.: _____ Date received: _____ Approval expires: _____
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Principal Investigator: Lauren Alweis
Title of Project: Engaged Faculty Survey

ONLY research activities in which involvement of human subjects will be in one or more of the categories specified below are eligible for exemption certification. If the research study involves a vulnerable population, such as children, prisoners, pregnant women, refer to 45 CFR 46 subparts B, C, and D for protections afforded these groups.

Check the appropriate categories that apply to your research project:

_____ 1. Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (i) research on regular and special education instructional strategies, or **(ii) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.**

 X 2. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (i) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (ii) any disclosure of 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. *Note: According to 45 CFR 46.401, if the subjects are children, this exemption applies only to research involving educational tests or observations of public behavior when the investigator(s) do not participate in the activities being observed.*

_____ 3. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior that is not exempt under #2 (above) of this section if: (i) the human subjects are elected or appointed public officials or candidates for public office; or (ii) federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

_____ 4. Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in such a manner that **subjects cannot be identified, directly or through identifiers linked to the subjects.**

_____ 5. Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: **(i) public benefit or service programs;** (ii) procedures for obtaining benefits or services under those programs; **(iii) possible changes in or alternatives to those programs** or procedures; or (iv) possible changes in methods or levels of payment for benefits or services under those programs.

_____ 6. Taste and food quality evaluation and consumer acceptance studies, (i) if wholesome foods without additives are consumed or (ii) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

Chair, Institutional Review Board

Date