IRB Application and Dropbox System

This is an example form for the IRB Application System. Use this as a guide to prepare your application before entering it on the website.

Application Date: <auto-filled>
Title of Research (255 chars max):* 

SECTION ONE: SUMMARY INFORMATION

Principal Investigator

Applicant: <auto-filled>

Applicant's email address (255 chars max):* <auto-filled>
Applicant's status at Carleton (255 chars max):* <auto-filled>
Applicant Details (255 chars max):* <auto-filled>
faculty and staff: title and department/office
students: major and class year
others: additional clarifying information such as home institution

For student Researchers

Note to Student Applicants: Your IRB application will not be considered without an approval from the research supervisor of this project. (This is not your academic advisor, but the faculty member who is overseeing this project, or, in the case of fellowships, the person recommending you.) Approval is given via the on-line submission process.

Research Advisor's Carleton Email:* @carleton.edu
Is this research part of your comps project?*  

Consultants or Co-Investigators and Institutional/Department Affiliations (if any):
Project Background

Is Carleton IRB the “IRB of record” for this project?*  
- Yes
- No

Check "yes" if Carleton College is the only institution involved in your project. If your project will involve research subject at multiple institutions with IRBs, one IRB only must be designated as the IRB of record. If the Carleton IRB is not the IRB of record, you should not submit an application here. Please contact the IRB chair for further instructions.

Is this research being conducted with the support of a grant from the U.S. federal government?*  
- Yes
- No

Examples: the National Science Foundation, the National Institutes for Health, etc.

Is this research in connection with a fellowship application or a grant-funded project? (including Carleton grants and fellowships):*  
- Yes
- No

Purpose of project (in one or two sentences):*

Intended Use of Information Gathered:*  
This might be for a comps paper, for a public presentation on campus, for a presentation at an academic meeting, for possible publication, to assist the library staff in planning, etc.

Location of Study:*  
For example: on campus, in Northfield schools, in the Twin Cities, in Los Angeles, etc.

Anticipated Start Date of Project:*  
Anticipated End Date of Project:*
INTERNATIONAL PROJECTS

Will the proposed project will be conducted wholly or partially outside the United States?:

- Yes
- No

If the proposed project will be conducted wholly or partially outside the United States, provide additional information about the institution or researcher under whose auspices the project will be conducted.

Be sure to include name, institution, and contact information:

Does the local institution approve research projects with a body equivalent to an institutional review board? Have you contacted this organization about obtaining their approval of your project?

If no local institution can approve your project, have you consulted with an expert – a Carleton faculty member, a researcher who works in the area where you will conduct research, etc. – who can guide the research process and provide advice on local ethical standards to the Carleton IRB?

If so, please provide contact information about this person. If not, please make such contact immediately; IRB approval may be contingent on such a relationship:

Information About Subjects

Estimated number of subjects (255 chars max):

Age range of subjects (255 chars max):

Sex/gender of subjects (255 chars max):

Subject Source/Recruitment Method:
Examples: face to face, via advertising on campus, via email, Amazon Mechanical Turk, public observations, etc.

Note: Investigators are discouraged from enrolling subjects who have status relationships with the investigators (e.g., students or advisees of a faculty researcher). IRB Approval may be granted with a compelling justification or employment of a mechanism ensuring anonymity of participation.
SECTION TWO: INFORMATION FOR IRB REVIEW

Please answer each specific question and use as much space as needed to answer fully. A response of “See attached project description or grant application” is not sufficient.

2-1: Historical Background:
Provide a brief description of the project with reference to the investigator’s personal experience and to pertinent scientific literature:* 

2-2: Plan of Study:

(A) State the hypothesis or research question you intend to answer. Describe the research design, methods, interventions, and procedures (including standard or commonly used interventions or procedures) to be used in the research. Specifically, identify any interventions, procedures, or equipment that are innovative, unusual, or experimental:* 

(B) Describe any private information you will be collecting from subjects. Is any of this information sensitive? Data are considered sensitive when disclosure of identifying information could have adverse consequences for participants (such as criminal prosecution or disciplinary action) or damage their financial standing, employability, insurability, or reputation. Even information collected that could embarrass a participant if accidentally disclosed should be described here:* 

(C) Describe any deception procedures employed in this investigation, explaining why deception is necessary, describing possible risks caused by these deceptions, and detailing precautions to minimize or eliminate these risks. (Examples of deception used for research purposes: withholding relevant information, use of a confederate [someone who poses as someone they’re not], false performance feedback, offering fictitious information about the true purpose of the study, etc.):* 

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2-3: Possible Risks:

(A) Indicate what you consider to be the possible risks (or inconveniences) to subjects and indicate the precautions to be taken to minimize or eliminate these risks. If any data monitoring procedures or data security measures are needed to ensure the safety and privacy of subjects and/or confidentiality of data, describe them (if you are unsure, please read more about sensitive information and data management):*


(B) If deception is used, please explain possible risks and precautions to be taken to minimize or eliminate these risks:


SECTION THREE: SELECTION OF SUBJECTS AND THE INFORMED CONSENT PROCESS

3-1: Special Populations

(A) Indicate whether this project involves any of the following subject populations:

- Minors (Minors or “children” are defined in Minnesota law as persons under age 18)
- Prisoners or other kinds of inmates (including inhabitants of halfway houses)

(B) If you indicated working with any of the above-listed special populations, additional safeguards may need to be implemented in order to protect these populations from excessive risk, coercion, or undue influence. Please describe the precautions that you will take to minimize all possible risks given the unique setting or circumstance faced by these individuals. Federal guidelines about human subjects research may provide useful information about the precautions needed to conduct research with these special populations:
3-2: Recruitment and Consent

(A) Describe how subjects will be recruited:

(B) Will you be asking your subjects to consent to research?

Yes
No, I believe my project is exempt
No, it isn’t possible to seek consent

If yes, describe how consent will be sought from subjects or from the subjects’ legally authorized representative.

If children are subjects, discuss whether their assent will be sought and how the permission of their parents or legal guardians will be obtained:

3-3: Compensation of Subjects

(A) Will subjects receive any compensation for participation in cash or in kind (i.e., food, course credit, etc.)?*

Yes
No

If yes, please describe the amount or kind of compensation in the space below:

(B) Will your subjects receive course credit (either extra credit or fulfillment of a course requirement?)?*

Yes
No

Note: Students must be offered an equally desirable, non-research option for receiving the same amount of course credit

If yes, please describe the amount or kind of credit received for research participation and describe the optional procedure for receiving credit:
SECTION FOUR: INVESTIGATOR’S PLEDGE

By entering my name here, I certify that the information furnished concerning the procedures to be taken for the protection of human subjects is correct. I will seek and obtain prior approval for any modification in the project design or informed consent document and will report promptly any unexpected or otherwise significant adverse effects encountered in the course of this study. I certify that all individuals named as consultants or co-investigators have agreed to participate in this study. Certification is recorded by submitting this form via the Carleton IRB online application system (255 chars max):*

Supervisor’s Certification of student applications

By entering my name here, I certify that I have read this application in full and that I have discussed with the project investigator(s) the ethical treatment of the human subjects who will participate in this project, as well as the procedures to protect the privacy of the subjects and the confidentiality of data generated. Certification is recorded via the Carleton IRB online approval system (255 chars max):*

SECTION FIVE: ATTACHMENTS

Consent Form:* [Choose File] No file chosen
Download a blank IRB Consent Form

Additional Document #1: [Choose File] No file chosen
Additional Document #2: [Choose File] No file chosen
Additional Document #3: [Choose File] No file chosen
Additional Document #4: [Choose File] No file chosen
SECTION SIX: COMMON PITFALLS TO AVOID

In most cases your application will be processed within 10 days. There are certain conditions that may elevate risk to the point where we would require adjustments (e.g. removal, restatement, etc.) and/or further clarification and justification. This process takes time, and in some cases, may result in non-approval. In order to expedite your review, please consider and address the following possible pitfalls in your application, if relevant:

1. **Photos, audiotapes, names (identifiable information):** The IRB considers the privacy and confidentiality of all participants to be of utmost importance. Thus, if at all possible, you will want to avoid obtaining names and other identifiable information (e.g. photos), or at the very least, keep names/identities separate from the data obtained. If, however, you intend to reveal the identity of your participants, you must fully explain and justify this need for the purpose of research (i.e. using photos and names simply to enhance the entertainment value of a public presentation would not, in most cases, be allowed). And you must fully inform, request and obtain explicit permission to use such information in the informed consent process.

2. **Unfamiliar populations (e.g. prisoners; citizens of remote countries):** Please keep in mind that the IRB may not be familiar with the context in which certain individuals live and the possible risks faced by such people, thus you will want to fully explain the nature of risk given the participant’s local context; and when obtaining informed consent, insure that participants fully understand the nature and scope of their participation (e.g. what they will do and who will hear about it). This may require the involvement of a local translator and detailed, culturally sensitive explanation of your research.

**SIGNATURE:**

☐ I verify that I am the Applicant named above and I approve the submission of this application.

Student Applicants: **Please note:** When you submit your application, the IRB system will alert your faculty advisor. Once your faculty advisor has sanctioned your application, the IRB review process will begin.

[Save to Complete Later] [Submit to IRB Now]

[IRB Main Page]