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**FORM A**

**Not required for a literature review/academic exercise.**

**RESEARCH APPROVAL**

This box is for Southern – IRB Office Use Only

IRB Tracking #\_\_\_\_\_\_\_\_\_\_\_

Date Received \_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_Exempt \_\_\_\_\_\_Expedited \_\_\_\_\_Full Review \_\_\_\_\_Other (Animal/Plant)

1. IRB Board Approver \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name Date

1. IRB Board Approver \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name Date

Date Approval Sent\_\_\_\_\_\_\_\_\_\_\_\_

**Title of Research Project:**

Research Request: \_\_\_\_\_Exempt \_\_\_\_\_Expedited \_\_\_\_\_Full Review \_\_\_\_\_Animal/Plant

|  |  |
| --- | --- |
| Principal Investigator: | E-mail Address: |
| Phone #: |
| Co-Investigator: | E-mail Address: |
| Phone # |
| Co-Investigator: | E-mail Address: |
| Phone #: |
| Co-Investigator | E-mail Address: |
| Phone #: |
| Department: | Faculty Supervisor: |
| Starting Date: | Estimated Completion Date: |

|  |  |
| --- | --- |
| Information About Cooperating Institutions: Is this research being done with any institutions, individuals or organizations not affiliated with SAU? *If yes, please provide the names and contact information of authorized officials below.* | |
| Name of Institution | Address: |
| Contact Name: | Phone #: |
| Contact E-mail: |  |
| External Funding Agency: | Identification # ( if applicable) |
| Grant Submission Deadline (if any) |  |

**Please *attach* all of the following items, making sure the entire application is completely filled out (where applicable) before submitting the application:**

* Any research instruments (tests, surveys, questionnaires, protocols, or any form else used to collect data)
* All informed consent documents
* Permission from applicable authorities (principals of schools, teachers of classrooms, etc.) to conduct your research at their facilities on their School Letterhead.
* Students need signatures from their faculty advisor.

**All student applications must be signed by the faculty advisor then scanned and submitted electronically, or submitted directly by the faculty advisor. All applications should be submitted by email to** [**irb@southern.edu**](mailto:irb@southern.edu)**.**

**Please be aware you cannot begin your research until it has been officially approved by the IRB.**

**Type of Research- Check all areas that apply**

\_\_\_\_ Dissertation/Thesis

\_\_\_\_ Funded Faculty Research

\_\_\_\_ General Faculty Research

\_\_\_\_ Applying for ARC Funding

\_\_\_\_ Student Research

\_\_\_\_ Animal/Plant

**Background and Rationale for the Study:** This section should present the context of the work by explaining the relation of the proposed research to previous investigations in the field. Include citations for relevant research.

**Purpose/Objectives of the Research:** Briefly state, in non-technical language, the purpose of the research and the problem to be investigated. When possible, state specific hypotheses to be tested or specific research questions to be answered. For pilot or exploratory studies, discuss the way in which the information obtained will be used in future studies so that the long-term benefits can be assessed.

### **Methods and/or Procedures**: Briefly discuss, in non-technical language, the research methods which directly involve use of human subjects. Discuss how the methods employed will allow the investigator to address his/her hypotheses and/or research question(s).

**Description of Research Sample: If** human subjects are involved, please check all that apply:

\_\_\_\_ Minors (**if minors are involved please attach a Childs Assent Form**)

\_\_\_\_ Prison Inmates

\_\_\_\_ Mentally Impaired

\_\_\_\_ Physically Disabled

\_\_\_\_ Institutionalized Residents

\_\_\_\_ Anyone unable to make informed decisions about participation

\_\_\_\_ Vulnerable or at-risk groups, e.g. poverty, pregnant women, substance abuse population

\_\_\_\_ Health Care Data Information - be **sure to attach any necessary HIPAA forms if this line is checked**

\_\_\_\_ Animals or plants will be used

\_\_\_\_ Other: please describe

Approximate Number of Subjects: \_\_\_\_\_\_\_

**Participant Recruitment:**

Describe how participant recruitment will be performed. Include how potential participants are introduced to the study (Please check all that apply). Attach any recruiting materials you plan to use (text of E-mail or web-based solicitations)

\_\_\_\_\_\_\_ Southern Directory

\_\_\_\_\_\_\_ Postings, Flyers

\_\_\_\_\_\_\_ Radio, TV

\_\_\_\_\_\_\_ E-Mail Solicitation, How Were Addresses Obtained? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_ Web-based Solicitation, Indicate Site(s)\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_ Participant Pool \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_ Other, Please Specify \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Content Sensitivity:**

Does your research address culturally or morally sensitive issues? \_\_\_\_Yes \_\_\_\_ No

If yes, please describe.

**Privacy and Confidentiality:**

Efforts will be made to keep personal information confidential. We cannot guarantee absolute confidentiality. Personal information may be disclosed if required by law. Identities will be help in confidence in reports in which the study may be published and databases in which results may be stored.

Will personal identifiers be collected? \_\_\_\_ Yes \_\_\_\_ No

Will identifiers be translated to a code? \_\_\_\_ Yes \_\_\_\_ No

Will recordings be made (audio, video) \_\_\_\_ Yes \_\_\_\_ No

If yes, please describe.

**Is Funding being sought to support this research?** \_\_\_\_\_\_\_\_\_

Circle to indicate if the funding is: Internal or External Funding? Is there a funding risk? \_\_\_\_\_\_\_\_\_\_\_

Who will keep the financial records? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Who will have access to data (survey, questionnaires, recordings, interview records, etc.)? Please list below.

**Participant Compensation and Costs**

Are participants to be compensated for the study? \_\_\_\_ Yes \_\_\_\_ No

If yes, what is the amount, type and source of funds:

Amount $\_\_\_\_\_\_\_\_\_\_\_ Type:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Source \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Will participants who are students be offered class credit? \_\_\_\_ Yes \_\_\_\_ No \_\_\_\_ NA

Are other inducements planned to recruit participants? \_\_\_\_ Yes \_\_\_\_ No

If yes, please describe

Are there any costs to participants? \_\_\_\_ Yes \_\_\_\_ No

If yes, please explain \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Other: Animals/Plants**

Are the animals/plants being studied on the endangered list? \_\_\_\_\_\_\_\_\_\_\_\_

Are Scientific Collection Permits required, i.e. Tennessee Wildlife Resources Agency? \_\_\_\_\_\_\_\_\_\_

Have the animal(s) utilized in this study already been used in a previous study (non-naïve animals)?\_\_\_\_\_\_\_\_

Will the animal(s) used in this study be used in a future study? \_\_\_\_\_\_\_\_

Where will the animals be housed? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Will the rodents (if applicable) be housed in wire bottom cages? \_\_\_\_\_\_\_

Will plants be used for instructional purposes as part of teaching a course? \_\_\_\_\_\_\_\_\_\_

**Are there any risks involved with this study? \_\_\_\_\_Yes \_\_\_\_\_\_No**

Are there any potential damage or adverse consequences to researcher, participants, or environment? These might include physical, psychological, social, or spiritual risks whether as part of the protocol or a remote possibility. Please indicate all that apply.

\_\_\_\_ **Physical Risk:** May include pain injury, and impairment of a sense such as touch or sight. These risks may be brief or extended, temporary or permanent, occur during participation in the research or arise after.

\_\_\_\_ **Psychological Risk:** Can include anxiety, sadness, regret and emotional distress, among others. Psychological risks exist in many different types of research in addition to behavioral studies.

\_\_\_\_ **Social Risk:** Can exist whenever there is the possibility that participating in research or the revelation of data collected by investigators in the course of the research, if disclosed to individuals or entities outside of the research, could negatively impact others’ perceptions of the participant. Social risks can range from jeopardizing the individual’s reputation and social standing, to placing the individual at-risk of political or social reprisals.

\_\_\_\_ **Legal Risk:**  Include the exposure of activities of a research subject “that could reasonable place the subjects at risk of criminal or civil liability”.

\_\_\_\_ **Economic Risk:** May exist if knowledge of one’s participation in research, for example, could make it difficult for a research participant to retain a job or find a job, or if insurance premiums increase or loss of insurance is a result of the disclosure of research data.

\_\_\_\_ **Spiritual Risk:** May exist if knowledge of one’s spiritual beliefs or lack of, could be exposed which in turn could invoke an economic, social and or psychological risk.

**Risks: In your opinion, do benefits outweigh risks? \_\_\_\_ Yes \_\_\_\_ No**

**If yes, please explain how you plan to minimize the risks identified above: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Results:**

The results will be disseminated as:

\_\_\_\_\_\_Classwork only \_\_\_\_\_\_Student conference \_\_\_\_\_\_ Professional conference

\_\_\_\_\_\_Published article \_\_\_\_\_\_Other If other, please specify: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Signatures:** If submitted by the faculty advisor’s email address, electronic (typed) signatures are acceptable for both the faculty advisor and student. Only PDF files or Word documents are acceptable submissions.

**Principal Investigator (PI) or Student Date**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Faculty Advisor (for student applications) Date**

**All student applications must be signed by the faculty advisor then submitted electronically via email directly by the faculty advisor. All applications should be submitted by faculty advisor to:** [**irb@southern.edu**](mailto:irb@southern.edu)

**Additional Special Requirements or Attachments to the Application**

**Approvals from other IRBs**

Cooperative research projects involve research that involves more than one institution. In these instances, federal law holds each institution responsible for safeguarding the rights and welfare of human subjects and for complying with federal policy; therefore, SAU IRB applications must be made even if there is another institution conducting a review of the same research project. When a study is being carried out at a non-USA site, and approval from other institutional review boards at the foreign site must be sought. The IRB recommends that a copy of each IRB approval be submitted.

**Questionnaires/Other Instruments**

Any questionnaires, tests, survey instruments or data collections sheets which are not standard and well known must be submitted as part of the application. Structured interview questions and outlines for unstructured interviews also must be included.

**Advertisements/Notices/Recruitment Flyers**

The text of any advertisement, video display, notice, sign, brochure or flyer used to recruit subjects either should be included as an attachment.