Reed College

**IRB Submission Form B: Qualitative Projects**

INSTRUCTIONS: Read through the ENTIRE form before beginning to fill it out. Your adviser for this project needs to read through the entire application before signing off on it, and the faculty signature is required before the application can be handed in. Please be sure your application is spell-checked and free of typographical errors.

PURPOSE OF THIS APPLICATION: This application is meant to ensure that non-experimental research carried out by Reed College students and faculty fulfills ethical standards established by the US government. There are a number of different issues involved in ethical research that are particularly relevant to anthropological practice. Some of the main issues are noted below.

1. Ethical research practices require that participants know what the research is about, what they will be asked to do, and what the risks associated with participation are. Risks to participants may include: physical or emotional harm, declaration of illegal activity that could be traced back to the participant, or declaration of activity that goes against social norms. (This is not an exhaustive list of potential risks to participants.) Risk of physical harm rarely occurs in non-experimental research, but anthropologists do often elicit narratives of events that may be painful or shameful for participants to relate. In this application, be sure to address how you will minimize risks of these kinds.

2. One of the ways in which risks of declaration of illegal or socially unacceptable behavior is minimized is by maintaining confidentiality of the identity of participants. “Confidentiality” refers to being able to keep names and personal identifiers out of any research publications or products. However, in most cases confidentiality does not assure anonymity: people in the subject populations are often able to identify other participants in that same population regardless of the use of pseudonyms. Your consent scripts (intended for either written or oral transmission) cannot assure participants of anonymity, nor can they even assure confidentiality, but they can describe the procedures for maintaining as much confidentiality as you think is appropriate or possible. Please also note that confidentiality is an issue across the entire range of research activities, from the collection of materials (where you might not want to interview a participant in a public place where others may overhear your conversation if the subject of the conversation is sensitive) to the final write-up (where pseudonyms or other forms of editing of primary materials may be necessary).

3. Ethical research requires that participants do not feel coerced into participation. Different participant populations will have different issues of coercion. Prisoners, children, decisionally impaired people, non-English speakers, or people living outside the US are categories of people that the US government has decided may not be in a position (or may not feel that they are in a position) to give or withhold consent, and therefore their participation in research is particularly scrutinized. Your consent procedures should be designed to address the ways in which you will inform participants about and minimize risks of participation.

4. Consent is not usually required for events that are public. “Public” events are ones where people have no expectation of privacy. Examples of public events include: sports events (a football game); a religious event (worship service where attendance is not restricted); a lecture open to the public; or a street protest. This is not an exhaustive list of events that could be considered “public” or “semi-public.”

5. While this is not often a major issue in non-experimental research, it is important that you have valid, research-driven reasons for including and excluding participants in your study. This has been a problem primarily in bio-medical research, where minority groups have not been allowed to participate in studies and therefore have not been allowed to benefit from this research. However, if there is a research-driven need to include/exclude participants, it is valid to limit participation (e.g. in bio-medical research if one is conducting a study on sickle-cell anemia, a condition that largely affects people of African and Mediterranean descent, it is valid to limit your study to participants of ethnic/racial groups who disproportionately have this condition; in non-experimental research if one is conducting a study on the effects of neo-liberal reforms on a particular community, it is obviously fine to limit your study to that particular community). In describing your subject population and criteria for inclusion or exclusion in this application, it is important to make sure that your criteria are driven by the research design.

For a more complete introduction to aspects of ethical research with human subjects that are of particular note for the US government, it is strongly recommended that you visit the following website, which has a brief tutorial:

http://apps.research.uci.edu/tutorial/

If you take the tutorial at this website (and pass), please note this in your response to Question 1.

Questions are printed in bold. Please make sure that your responses are in normal, non-bold text.

**Project Title:**

**Sources of Funding for the Project:**

**Submission Date:**

**Name of Researcher:**

**Department:**

**Address: Email:**

**Faculty Advisor (if applicable): Faculty Email (if applicable):**

**Although the IRB ultimately determines which type of review your project will receive, please consult the guidelines in the document entitled "Categories of Review" on the IRB webpage and then check the category of review you believe applies.**

**[ ]  Exempt**

**[ ]  Expedited**

**[ ]  Full**

**Please indicate your agreement to the following stipulation:**

**I will promptly report changes in the proposed study and any unanticipated problems involving risks to participants, including adverse reactions, to the Institutional Review Board.**

**Signature of Primary Investigator**

**X**

**Signature of Faculty Advisor (if applicable) (signature indicates that the proposal has been read and approved)**

**X**

**(Investigator *and* Faculty Adviser sign the hard copy and submit, along with the electronic version, to the IRB Administrator.)**

**1. For all categories of review, briefly describe the project. Include in your description your research hypothesis or question, and how the information you gain will advance your research hypothesis or question. (300 word limit) For full review or for projects with higher risk for participants, place your research in the context of related or previous studies. (400 word limit)**

**2. List all sites where research will take place, and provide a brief description of each. Does your research involve only accessing an existing archive or database(s)? If so, skip to question 9.**

**3. Describe the subject population in your responses to Questions 3A, 3B, and 3C. If you have several different populations, be sure to describe these under different headings. Give each population category a different name, and then use these names throughout the rest of the application when referring to these population categories.**

**A. Describe the population(s) in general demographic terms (age range, race or ethnicity, nationality, language(s) commonly spoken).**

**B. Describe the groups or organizations under study, if applicable. Will you have to ask for consent from any groups or organizations?**

**C. Note below if your study includes populations from protected categories (i.e., children, prisoners, non-English speakers, people from outside of the U.S., or other individuals who may be decisionally impaired). If your study involves children (i.e., those under 18 years of age), complete** [**Appendix A: Research Involving Child Participants**](http://reed.edu/irb/submission-forms.html)**, which can be found on the IRB website. If your study involves participants from any other protected category, fill out** [**Form B: Supplement**](#FormB)**, which can be found at the end of this application.**

**4. For studies involving participant-observation, what specific kinds of events will you be observing/participating in?**

**A. Briefly describe the event(s), where/when they (tend to) take place, what you plan to observe, and how this information is important to your study.**

**B. For public and semi-public events: if asked by participants, how would you explain your presence at the event?**

**5. If you plan to conduct unstructured and/or semi-structured interviews:**

**A. Explain your criteria for identifying and recruiting participants. Attach any advertisements or oral scripts that may be used in the process of recruitment. Include in your script what you would say when approaching a potential participant to recruit them to your study. There are sample recruitment scripts on the IRB website under [Participant Recruitment Materials](http://reed.edu/irb/submission-forms.html).
Specify if any incentives will be offered for participation.**

**B. Provide 1) a brief description of the kind of information or narratives you are hoping to elicit from subjects and 2) a list of specific sample questions that you will ask in order to get the kind of information/narratives you described.**

**C. Describe rationale for inclusion/exclusion of subjects in this portion of the research.**

**D. Describe the expected length of interviews and the expected number of interviews to be conducted.**

**6. For studies involving surveys or questionnaires:**

**A. Provide the rationale for the survey and the rationale for inclusion/exclusion of survey takers.**

**B. How many subjects will complete the survey and how long will it take to complete?**

 **C. In a separate document, provide (a draft of) the survey/questionnaire.**

**7. Explain how you plan to document interviews or other events. (Select all that apply.)**

**[ ]  notes****[ ]  audio-tape**

**[ ]  video-tape**

**[ ]  other (explain)**

**A. Provide a rationale for why these forms of documentation are necessary for your study.**

**B. If confidentiality is assured to participants, identify the procedures through which you will maintain confidentiality (e.g. coding of names).**

**C. If interviews or questionnaires will be conducted in a public place, how will confidentiality be maintained?**

**D. Will the primary investigator be the only person to transcribe/translate recorded interviews? If not, who else will be involved in this process, and how will confidentiality be maintained?**

**E. Where and how will research materials be stored? (E.g., in a locked cabinet, on a computer with password protected files)**

**8. Describe how you plan to gain consent for your research.**

**In seeking consent, you should inform participants in non-specialist terms the purpose of your project, what you plan to do with the research, and whether or not confidentiality will be maintained and if so how. You also need to explicitly inform participants that their participation is completely voluntary and that they may refuse to answer any questions and/or stop their participation at anytime. If you plan to audio- or video-tape participants, you need to have a separate signature line on a written consent document for them to consent to recording, or you need a separate question asking them to say out loud that they consent to recording in an oral consent scenario.** [**See IRB website for participant consent information and templates.**](http://www.reed.edu/irb/participant-consent.html)

**A. Will you seek written consent? [ ]  Yes [ ]  No**

**If so, please attach a copy of the informed consent form(s) you will use, taking into consideration all the above-mentioned elements of the informed consent. If it is not appropriate to gain written consent, you will need to gain your participants’ consent orally.**

**B. Will you seek oral consent? [ ]  Yes [ ]  No**

**Taking into consideration all the above-mentioned elements of informed consent, include an approximate script of what you will tell your participants in order to gain and record their consent.**

**C.** **If there are different subject populations requiring different consent procedures, discuss each of them here.**

**If there are different types of research activities requiring different consent procedures, discuss each of them here.**

**9. If the content of your interviews, recordings of public events, and/or results of your questionnaires or your analyses of existing databases are read or heard by others, would this be likely to place the participants at risk of status loss or some other social and legal difficulty?**

**[ ]  Yes** **[ ]  No (describe)**

**If you answer yes to the above questions, explain what you will do to protect informants from these risks.**

**Checklist of Additional Materials, which may include some or all of the following:**

* + **Form B: Supplement**
	+ **Surveys**
	+ **Sample questions/description of narratives to be elicited for interviews**
	+ **Recruitment script(s)**
	+ **Consent document(s) –** [**See IRB website for participant consent information and templates**](http://www.reed.edu/irb/participant-consent.html)**.**
	+ **Other documents/scripts to be used in research, as needed**

**Form B — Supplement:**

Research with subjects in protected categories and research language evaluation

**Please note if your research will involve any of the following categories of participants:**

[ ]  Prisoners

[ ]  Non-English speakers

[ ]  People living outside of the U.S.

[ ]  Decisionally-impaired people

**1. Explain why research with these participants is necessary for your study. If you have checked multiple categories from the list above, use a different paragraph to address each kind of participant population.**

**2. Explain how you will obtain consent from these participants (and their legal guardians, if applicable) and any special precautions you will take to ensure that participants do not feel coerced into taking part in your study.**

**3. Explain what special efforts you will make to ensure the confidentiality of these participants.**

**4. For projects involving non-English speakers:**

**A. In what language(s) will research activities be conducted?**

**B. Describe your expertise with this language or languages.**

**C. If you will be using a national language or lingua franca that is not the first, native language of your research participants, describe the standard level of speaking and writing abilities of participants in this community for this language.**

**D. Will anyone be helping you translate or transcribe events or recordings? If so, how will you maintain confidentiality while including these other researchers?**