

Houston Community College

Institutional Review Board Application

When completing the HCC IRB Application, applicants must refer to the HCC IRB Guidelines located at the following link: <https://www.hccs.edu/departments/institutional-review-board/forms/>.

All HCC Institutional Review Board Correspondence must be sent to irb@hccs.edu.

If there are additional questions, please email them to irb@hccs.edu and include contact information.

All information must be provided on this form. Incomplete applications will be returned for completion prior to review.

**Date Submitted:**       **Select Submission Type:**

*Select* ***New Proposal*** *if this is the first submission of the proposed research proposal;* ***Continuing*** *if the project has been approved but changes are being requested; and* ***Modification*** *if this is a revision from the initial submission as requested by the IRB.*

# Section 1: General Information

## 1.1 Principal Researcher Information

*The Principal Researcher (PR) is the primary contact for all IRB correspondence.*

Name:

Institutional Affiliation:

Title:

Email Address:

Phone Number:

Alternative Number:

Mailing Address Street:

 City:       State:       Zip:

Verification of Human Subjects Training (attach copy of certificate).

Type:       Date Completed:

## 1.2 Co-Researcher(s)/Dissertation Chair/Faculty Information (See Guidelines)

*The Co-Researchers are other researchers who are directly involved in the proposed projects or may have access to any individually identifiable information or data collected. If there are more than one Co-Researchers, please provide information for each one. You may include this information as an attachment. The Dissertation Chair/Faculty is required for all proposals related to a dissertation, candidacy project, thesis, or other education-related project in which a student is a Primary Researcher.*

Name:

Institutional Affiliation:

Title:

Email Address:

Phone Number:

Date the HCC IRB Proposal was reviewed by the Chair/Faculty *(for research projects in which the Principal Researcher is a student)*:

## 1.3 Project information

**Title:**

**Reason for Research:**

*List the reason the research is being proposed. If the research is related to a dissertation, state Dissertation. Note if the research is grant-related.*

**Proposed Start Date:**       **Proposed End Date:**

**Proposed HCC Location(s) for Research:**

## 1.4 HCC Liaison(s) (if applicable)

*While PRs are responsible for coordinating the project, it is suggested that PRs who are not affiliated with HCC identify a liaison to assist them. This is often someone at the location where the research will occur or the Dean or Chair of the discipline where students or faculty will be research subjects. The Liaison must be contacted prior to the submission of the IRB Application.*

Name:

Title:

Email Address:

# Section 2: Overview Questions

Section 2 is a list of questions that will assist the IRB members in making a determination (1) if the project is considered to be research according to the Federal guidelines and (2) the complexity level of the review process.

**Detailed information must be included in the responses in Section 3.**

|  |  |  |
| --- | --- | --- |
| 2.1 | Are any subjects under 18 years of age? |  |
| 2.2 | Does the research involve a possible vulnerable population such as prisoners or impaired adults? |  |
| 2.3 | Does the research deal with any sensitive aspects of a subject's behavior such as Illegal conduct, drug use, sexual behavior, or alcohol use? |  |
| 2.4 | Does the research employ deception or the withholding of complete information during initial consent? |  |
| 2.5 | Are HCC data on students or employees used without written consent? |  |
| 2.6 | Are data from subjects directly or indirectly identifiable? |  |
| 2.7 | Are the data collected possibly damaging to subjects' financial standing, employability or reputation? |  |
| 2.8 | Are there possible intentions to present/publish the data outside the College? |  |
| 2.9 | Will the subjects be audio or video taped? |  |
| 2.10 | Will social media be used in any way during the course of the research? |  |
| 2.11 | Will Artificial Intelligence (AI) tools be used in the research? |  |
| 2.12 | Will all subjects be free to withdraw at any time without penalty? |  |
| 2.13 | Will any form of compensation be given for participation? |  |
| 2.14 | Is this research related to a dissertation or other fulfillment of course or program objectives? |  |

# Section 3: Description of Research Study

Section 3 provides detailed information on the research project and the subjects involved. Information will assist the IRB members in understanding the proposed research project and in determining how the PR will address key issues related to the protection of human subjects. Responses must be clear and complete.

Use language appropriate for HCC's IRB members outside of the field of study. Explain and/or define any acronyms or abbreviations used. Avoid cutting and pasting from other documents, including funding proposals, online materials, master's thesis, or doctoral dissertation proposals.

The HCC Office of General Counsel has determined that HCC resources (including data and employee time) cannot be used to support third party research.

## 3.1 PURPOSE OF THE STUDY

*In one or two paragraphs, summarize the objectives of the research. Language should be appropriate for people outside of the field of study. If any technical language is used, it must be defined or explained. Do not cut and paste from long, complex sources, including dissertation or grant proposals.*

## 3.2 RESEARCH QUESTION

*Briefly state the hypotheses and research questions to be studied. Explain any technical terminology.*

## 3.3 RECRUITMENT OF SUBJECTS

A. Who are the subjects?
*Subjects also include any HCC data sets that will be used.*

B. How many subjects are to be included in the research?

C. How will subjects be identified/recruited?
*Note: Student emails are not part of HCC Directory Information and will not be disclosed.*

D. Describe any involvement of HCC faculty or staff in this research.

E. If used, describe and attach samples of recruitment flyers or similar documentation.

## 3.4 PROCEDURES AND DATA COLLECTION

All data collection and analysis are subject to the legal and procedural requirements of Houston Community College and other local, state and federal regulations. For certain types of data, it may be necessary to request it through the HCC General Counsel’s Records Request Office. Information can be found at this link: <https://www.hccs.edu/departments/general-counsel/>. This is the responsibility of the Principal Researcher.

A. Describe the research procedures to be used, especially any experimental and interventional procedures including interviews, surveys, focus groups, observations, reviews of existing records, etc.
*Be specific. Provide detailed descriptions of any HCC data that will be accessed, including the data type, sources, and methods of obtaining the data.*

B. Will direct contact be made with subjects?
*For example, survey instruments, individual interviews, or focus groups.*

C. If Yes, describe the instruments or protocol, including questions, that may be asked as part of the research.
*A copy of these questions, as approved by the Principal Researcher's affiliated institution, must be included as part of this application.* *If direct observation, describe the processes to be employed.*

D. How much time will be required from each subject?

## 3.5 INFORMED CONSENT

Informed Consent is required for research projects that involve students and/or employees involved in interviews, surveys, focus groups, observation, etc. as delineated in the Common Rule and Federal guidelines.

A. Is Informed Consent required?

B. If No, explain the basis of this determination?

C. If Yes, explain how Informed Consent will be obtained. Provide a copy of the Informed Consent Form to be signed by the subjects in the study.

D. Are there any potential conflict of interests (actual or perceived)?

*If there are any conflicts of interest, this* ***must*** *be disclosed to participants on the consent form.*

## 3.6 USE OF DECEPTION

A. Will deception be used?

B. If Yes, on what basis was this determination made.

C. If deception is to be used, explain clearly what this entails. Include why it is necessary, how it will be conducted and how participants will be debriefed.

## 3.7 USE OF HCC RECORDS

A. Will any paper, electronic or web-based data, documents,
or records belonging to HCC be used?

B. If Yes, explain what types of records will be used, the reasons they will be used and how they will be accessed.
Explain any need for paper or electronic data, documents, or records belonging to HCC that will be used. These might include data from HCC’s website, files from HCC’s PeopleSoft system or other HCC data sources, curriculum materials that have been developed by HCC faculty, student information that is part of on-line courses, student service records, student artifacts, and similar materials. For certain types of data, it may be necessary to request through the HCC General Counsel’s Office. Information is located at this url: <https://www.hccs.edu/departments/general-counsel/>. This is the responsibility of the Principal Researcher.

## 3.8 USE OF ARTIFICIAL INTELLIGENCE (AI) TOOLS

A. How will AI tools will be used in the research?

B. What study-related data will the tool(s) access?

C. What are the risks of the AI tool(s) and how will they be minimized?

## 3.9 RISK ASSESSMENT AND MANAGEMENT

A. Describe any foreseeable risks to subjects presented by the procedures stated in the Procedure and Data Collection section including any physical, psychological, social, economic, legal, or confidentiality risks. Explain and assess the levels of risk (minimal, moderate, high).

B. For each possible risk presented, provide the measures and precautions that will be taken to minimize such risks or to respond to any adverse events, should they occur.

C. How will the subjects be informed of the risks to which they will be subjected?
*This includes informed consent procedures and recruitment documents.*

D. What are the possible worst-case scenarios and what is the plan to deal with them? How will any adverse effects on subjects be handled or remedied?

## 3.10 COSTS ASSOCIATED WITH PARTICIPATION

A. Will there be any costs to the subjects related to participation in this research? *These costs may include subject’s time, including time involved with*
*completing surveys, participating in interviews or focus groups, etc. Include
any costs related to transportation or other expectations required of research subjects.*

B. If Yes, specifically describe each cost to the subjects.

## 3.11 COMPENSATION/REIMBURSEMENT

Compensation may include monetary items, like gift cards, and non-monetary benefits, like course credit.

A. Will compensation be made?

B. If Yes, describe any compensation or reimbursement to subjects in this research (i.e. monetary, course credit, services. etc.).

## 3.12 BENEFITS

A. Describe the possible benefits of this research to the subjects other than any compensation described above.

B. Explain how this study will benefit others or contribute to research in the field.

C. Explain how this study will benefit HCC.
*For example, an HCC Feedback Report of the findings and specific recommendations could be shared with HCC to support improvement.*

## 3.13 CONFIDENTIALITY

A. Describe the procedures to be used to maintain the confidentiality of any individually identifiable data (including any social media, videotapes, and/or audiotapes of the participants). This must include procedures related to storage and coding of records.

B. Describe where the research records will be maintained, any coding, encryption or other steps to be taken to separate participants' names from the research data and how long individually identifiable data will be retained for research records.
*In general, all electronically stored personally identifiable data must be encrypted. Security of any personally identifiable information is essential to maintaining confidentially. Explain where the research records will be maintained, who will have access to them, any coding or other steps that will be taken to separate participants’ names from research data, and how long individually identifiable data will be retained.*

C. Identify the categories of those other than the research team identified in Section 1 to whom individually identifiable data will be disclosed and the purpose of each such disclosure (examples include, but are not limited to, presentations, workshops, conferences, dissertation committees, committee meetings, etc.).

D. If applicable, describe the protocol for gaining access to individually identifiable data as indicated in Item 3.12-C.

## 3.14 DISSEMINATION OF DATA/RESULTS

Identify all methods in which the results of the proposed study will be disseminated. These may include but are not limited to professional presentations, journals, grant reports, HCC studies, academic conferences, thesis, or dissertation.

## 3.15 OTHER DOCUMENTATION AND APPROVALS

Review by the Principal Researcher’s home institution is required for dissertations.

A. Is this research part of an agreement or MOU?

B. Identify and describe the agreement or MOU.
*You will also need to attach a copy of the completed agreement.*

C. Has this research been reviewed by another institution’s IRB?
*This relates to review from other Institutional Review Boards. This is a requirement for research related to dissertations or other research related to an individual’s educational activities.*

D. Has this research been approved by another institution’s IRB?

E. If Yes, explain the outcome of the review.
*Attach copies of any documents that demonstrate approval of the proposed research.*

F. If No, is approval by another institution’s IRB required before
beginning research? (See HCC IRB Application Guidelines.
Required for dissertations)

G. For dissertations, documentation of IRB approval from Principal Researcher’s home institution is required. If not provided as part of this application, explain when the approval will be submitted.

# Section 4: Checklist

To be considered complete, the applicable items below must be included as attachments to the proposal. All attachments must be sent electronically as part of the application.

|  |  |  |
| --- | --- | --- |
| Attachment 1 | Curriculum Vitae or résumé of Principal Researcher is attached. |  |
| Attachment 2 | A copy of the Principal Researcher’s human subjects training certificate is attached. |  |
| Attachment 3 | If required, an Informed Consent Form is provided with this protocol. |  |
| Attachment 4 | If used, the final version of all questionnaires, surveys, instruments is attached. |  |
| Attachment 5 | If used, copies of recruitment flyers or letters are attached. |  |
| Attachment 6 | If this research protocol requires approval by another institution’s IRB, the IRB approval letter is attached (required for all research related to dissertations). |  |
| Attachment 7 | If this research is part of an agreement or MOU, the documentation is attached. |  |

**CERTIFICATION**

By submitting this application to the HCC IRB:

* I certify that the information I have provided is true and accurate to the best of my knowledge.
* I confirm I meet the Principal Researcher qualifications described in the HCC IRB Guidelines.
* I agree to comply with the Principal Researcher requirements described in the HCC IRB Guidelines.
* I recognize that approval from the HCC IRB does not imply all approvals necessary to conduct the research project at HCC have been granted. Other approvals may be necessary.

Principal Researchers Name:

Date:

**Completed proposals and all attachments must be saved as pdf files and e-mailed to** **irb@hccs.edu****.**

**Depending on the HCC work schedule, proposals will be reviewed within four to six weeks of submission and Principal Researchers notified of the results.**