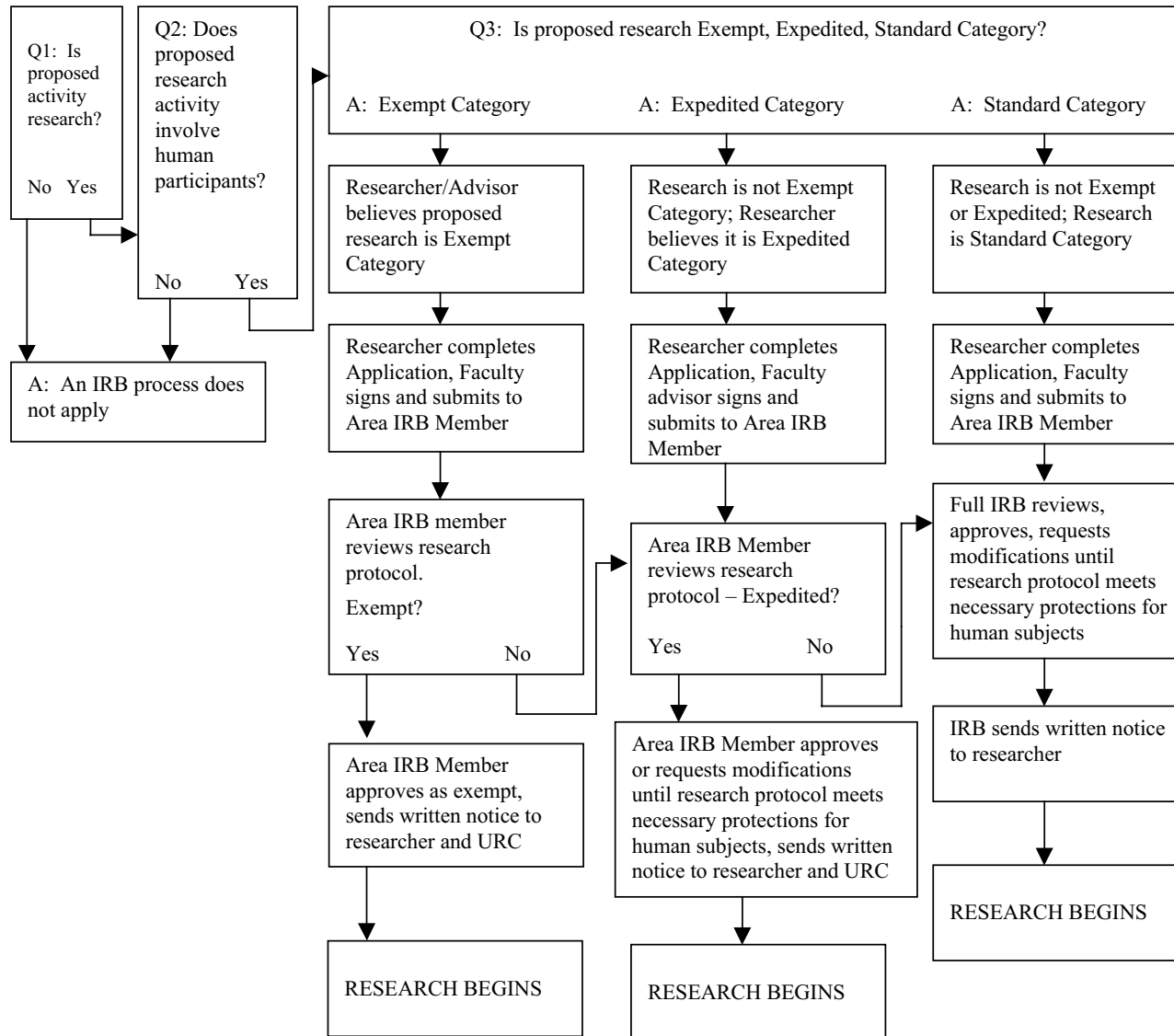


## DECISION TREE

**STUDENTS:** Please contact your instructor or academic advisor prior to completing an Application for IRB Approval of Research Protocol



# Institutional Review Board for the Protection of Human Participants in Research

## GUIDELINES FOR SUBMITTING RESEARCH FOR REVIEW

**UNIVERSITY OF LA VERNE**

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Application forms available at [www.ulv.edu/irb](http://www.ulv.edu/irb)

## ETHICAL RESPONSIBILITIES

The University of La Verne believes in the value of research involving human participants, and accepts an ethical responsibility for safeguarding their rights and welfare with due consideration to ethnic and cultural issues (Code of Federal Regulations, Title 45, Part 46, Department of Health and Human Services, Protection of Human Subjects, Revised, June 18, 1991).

## DEFINITIONS

According to the Code of Federal Regulations, Title 45, Part 46, research is defined as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge. Activities which meet this definition constitute research for the purposes of this policy, whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.”

A “human participant” is defined as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the person, or (2) identifiable private information.”

## APPLICATION OF POLICY

The University’s policy applies to all faculty, staff, administrators and students who are conducting or supervising research involving human participants, regardless of whether the participants are members of the University of La Verne community. Heads of units, such as department chairs, program chairs and deans are responsible to bring this policy to the attention of their faculty, staff and students.

The implementation of the policies for the protection of human participants in research is shared by the Colleges and the Office of the Provost.

Each empirical master’s thesis or doctoral dissertation involving human participants as sources of information must document in an appendix that the research project was specifically reviewed for compliance with ethical standards and was approved by the University’s Institutional Review Board (IRB) prior to the start of data collection.

Research activities in the context of specific courses, including senior projects, must comply with the Federal guidelines under the supervision of the course instructor. The instructor requests IRB review at his or her discretion (e.g. if the research will be published; if the research involves risk or vulnerable populations).

## TRAINING AND CERTIFICATION

Faculty members and staff who conduct or supervise research that involves human participants or who teach human research methods must be certified in the protection of human participants in research. Current training and certification policies and links may be found on the IRB webpage, [www.ulv.edu/irb](http://www.ulv.edu/irb).

## PROTOCOL CATEGORIES

There are three categories by the University IRB under which applications may be reviewed. These categories reflect the nature and level of potential risk to human participants.

STANDARD review is required if one or more of the following conditions is involved:

- There is more than minimal legal, physical, or psychological risk to participants (e.g., disclosure of responses could place participants at risk of criminal or civil liability or damage their financial or employment status; physical activity required beyond routine levels; sensitive aspects of behavior recorded, such as sexual behavior or substance abuse)
- Participants are members of a vulnerable population (e.g., children under the age of 18, adults who are under legal guardianship, frail elderly, persons with disabilities, persons in prison)
- The study involves deception or manipulation of participants’ behaviors without prior informed consent.

EXPEDITED review may be provided if the research engenders no more than minimal risk to participants. The following types of research may receive expedited review:

- Surveys, interviews, questionnaires, or observations in which safeguards in the research design can reasonably be expected to preserve confidentiality of the participant’s identity and responses
- Recording of data from participants 18 years of age or older using non-invasive procedures or procedures routinely performed in clinical practice (e.g., heart beat monitors, GSR, temperature readings, simple blood drawing by qualified personnel)
- Voice, video, digital or image recordings made to study speech, language, or behavioral patterns (may require standard review or be exempt from review depending on the degree of invasion of privacy)
- Studies involving moderate physical activity by healthy volunteers
- The study of existing data, documents, records, pathological or DNA specimens in which the identities of participants are kept confidential, but in which participants are not anonymous

- Research on individual or group behavior or characteristics of individuals, such as studies of perception, cognition, game theory or test development, where the investigator does not manipulate participants’ behaviors and the research will not involve stress to participants beyond that expected in routine daily activities

Standard and Expedited applications both require prior informed consent (written or verbal) of participants unless waived by the IRB (e.g., use of archival records, studies where prior consent would render the research unfeasible).

An IRB Application may be approved as EXEMPT from review under specific conditions:

- The participants are elected or appointed public officials or candidates for public office
- The research is being conducted in common educational settings involving normal pedagogical practices such as (1) regular and special education instructional strategies; (2) comparison among instructional techniques, curricula or classroom management methods
- The research uses standard educational test results (e.g., cognitive, diagnostic, aptitude, achievement) and the data cannot be linked to individual students’ identities by name, identification numbers or through combinations of demographic information.
- The research method involves observations of public behaviors in settings where the participants have no reasonable expectation of privacy and their coded behaviors and responses cannot be linked to their identities
- Data are collected from existing data bases, documents, records, pathological specimens, or diagnostic specimens; if the data sources are public and cannot be linked to the participants identities

The level at which an IRB application will be reviewed is solely the decision of the IRB members. The guidelines provided in this brochure give the researcher and/or the faculty advisor general information on what kinds of research designs are likely to fall under the different categories of review.

To obtain the name of the Area IRB Member, please contact the respective Dean of the following College or Schools:

College of Arts and Sciences  
College of Business and Public Management  
College of Education and Organizational Leadership  
College of Law