

The Policy

A. Basic Principles

1. Research involving human subjects must conform to the moral and specific principles that justify such research and should be based on laboratory or animal experiments or other scientifically established fact.
2. Research involving human subjects should be conducted only by qualified persons and under the supervision of a senior researcher.
3. Research involving human subjects should not be carried out unless the importance of the research and its objectives is in proportion to the inherent risks to the research subject.
4. Every research project involving human subjects should be preceded by careful assessment of the inherent risks in comparison to foreseeable benefits to the research subjects or to others.
5. Special caution should be exercised by the researcher in conducting research on human subjects in which the personality of the subject may be altered or disturbed by drugs or experimental procedures.
6. The researcher must obtain legally effective informed consent in writing from all subjects and must allow subjects to terminate their participation in research and training programs at any time. The signed consent forms should be kept by the researcher in a locked cabinet for three years.
7. Researcher must debrief subjects, their parents, or their guardians upon completion of the study in the following three cases:
 - a. deception;
 - b. use of placebos; or
 - c. subjects who are children or mentally or emotionally disabled individuals.
8. Research and training programs involving human subjects must respect the rights and privacy of research subjects and assure that maximum confidentiality of personal information will be maintained.
9. In compliance with regulations of the Department of Health and Human Services (HHS), MSCD has established an institutional review board called the MSCD Human Subjects Review Committee. This committee is responsible for reviewing proposals for research which is to involve human subjects. However, according to the NIH/PHS/HHS/OPRR Reports, Protection of Human Subjects, Title 45, CFR Part 46, Section 46.101, revised June 18, 1991, the following categories of research are exempt from institutional review:

- a. Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (i) research on regular and special education instructional strategies, or (ii) research on the effectiveness of or the comparison among institutional techniques, curricula, or classroom management methods.
- b. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless:
 - i. information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and
 - ii. any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation.
- c. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior that is not exempt under paragraph (b) of this sections, if:
 - i. the human subjects are elected or appointed public officials or candidates for public office; or
 - ii. Federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.
- d. Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in such a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

The Human Subjects Review Committee will fully review non-exempt research. Proposals are to be reviewed prior to initiation of the study, whenever research procedures are amended, and annually when the study continues for more than one year.

- B. Student projects (required or for extra credit) involving observation or interaction with human subjects will be expected to conform to the College's guidelines for confidentiality and research with human participants as well as any Departmental guidelines which exist. These guidelines can be found in the policy contained herein.

- C. Faculty should be familiar with both the College's as well as their Department's/ School/s guidelines for protecting human subjects, are responsible for teaching them to students, and are responsible for making sure all student projects under their jurisdiction conform to the appropriate standards.
- D. In all cases, both verbal and written assurances of the confidentiality of subject responses should be given and adhered to by MSCD faculty, staff, and student researchers.
- E. For all required and extra credit projects, faculty must either provide or require the students to provide an informed consent form as specified below:
1. Observation of Subjects in a Public Place. Examples of this type of project are observations at a park, supermarket, or shopping center where there is no contact between the observer and the subjects. Students must be taught how to maintain confidentiality and to use appropriate research procedures with human subjects, but do not need to obtain an informed consent form.
 2. Observations and Interactions with Subjects in an Institutional Setting
There are several different types of institutions:
 - a. Institutions with Human Subjects Procedures. This applies primarily to public schools, the Auraria Child Care Center, and the MSCD Child Development Center. The instructor for the course should contact the institution and arrange for the class projects to be conducted at the site. A letter on MSCD stationery should be sent informing the Principal/ Director of the facility about the exact nature of the class project. If direct interaction between the college student and the research subject will occur, individually signed informed consent form(s) from the research subject(s), or parents of the subject(s) when subjects are less than eighteen years of age, are required.

Most of these institutions have obtained prior informed consent for observations in the classroom, but they may not have informed consent for projects involving direct interaction between the college student and the child. Therefore, the course instructor must find out under what circumstances individually signed subject consent forms for the proposed projects will be required. The instructor is responsible for making the appropriate arrangements (either obtaining individual consent or setting up a mechanism for students to obtain consent). Students must be taught how to maintain confidentiality and to use appropriate research procedures with human subjects, as well as to abide by special requirements that the institution might have, such as obtaining consent from individuals or the institution's Human Subjects Committee, checking in with the front desk, or signing a guest book. (See Example 1 consent form on Web).

- b. Institutions without Human Subjects Procedures. Most day care centers and nursing homes do not have a set of standard procedures. In this case, the instructor or the student must obtain signed informed consent forms from the institution/ facility. Individually signed informed consent forms are also required from the subjects or, if children under eighteen (18) years of age are involved, from the parent or legal guardian. The instructor should prepare a consent form on MSCD stationary following the attached example form. The instructor must find out under what circumstances individually signed consent forms will be required by the institution and must make appropriate arrangements. Students should obtain consent even if they are employed at the institution where the research will be conducted. Students should be taught why they must obtain these informed consent forms, how to maintain confidentiality, and to use appropriate research procedures with human subjects, as well as to abide by any special arrangements that the institution might have. (See Example 1 consent form on Web).
3. Observations and Interactions with Individuals. At times, projects involve working with adults and children that the student recruits, such as friends and relatives. Even in these cases, students must be taught to maintain confidentiality and to use appropriate research procedures with human subjects. The student must obtain a signed informed consent form from all subjects. If the subject is over 18 years of age, parental permission is not required. If the subject is under 18 years of age, an informed consent form must be signed by the parent (mother or father) or legal guardian. Children under 18 years of age must be informed about the research procedures in language appropriate to their development level and, depending on their level of understanding, must give verbal assent to participation. (See Example 2 consent form on Web).
4. Research Projects Conducted in Research Classes. Developmental and institutional guidelines for confidentiality and research with human subjects will be taught in depth as a part of course requirements for research classes. Students will be required to develop their own informed consent forms or to use forms developed by faculty members which conform to College guidelines and Department policy (see above). All student projects will be reviewed and approved by faculty prior to recruiting subjects. (See Example 3 consent form on Web).
 - a. Recruiting Subjects from College Courses. Students recruiting subjects from Introductory Psychology or any other college course must use written informed consent forms that have been approved by the research course instructor. The faculty member teaching the course used for subject recruitment should be given a copy of the form. Students can obtain informed consent in two ways:

- i. When data will be gathered outside of class. The student researcher should have the informed consent form printed at the top of the page with space at the bottom for subjects to sign and to give pertinent information (e.g., telephone numbers). The student researcher will contact the students outside of class. (See Example 3 consent form on Web).
 - ii. When the data will be collected in class. the student must read the informed consent form aloud in class. The form must end with the words "by participating in this project, you give your consent to participate." Individually signed consent forms are not required, as subjects do not have to place their names on the questionnaire or any other forms. (See Example 4 consent form on Web).
 5. In the case of sample surveys where responses will be collected by mail, telephone, door-to-door, or mall intercepts, consent to participate in the survey may be verbal. If the respondent agrees to participate in the survey and to respond to survey questions, he/she should be informed that responding to the questions implies that consent to participate has been given.
- F. Special procedures when a researcher collects data from a class he or she is instructing:
1. An instructor/researcher collecting data from his/her own students during class time must not be present in the classroom during the data collection (e.g. survey administration).
 2. Consent forms, if necessary, and data forms need to be collected separately in a manila envelope by a student, sealed, and hand delivered to the department office. The researcher should consult with the committee regarding the consent form.
 3. The instructor should not have access to the data forms until after grades have been assigned and submitted to the Registrar.

In other words, the same protections should apply to students participating in research as apply for students evaluating their instructors through the use of established college procedures.

And no instructor should encourage or push his/her students to participate in an experiment beyond making class time available to a researcher. It is preferable that the instructor of record not be present after introducing the researcher to avoid the appearance of coercion.

Approved by Academic Affairs, Fall, 1994
Amended per Federal Guidelines, Summer, 1996

Last changed: *October 17, 2002*