Application form: SoTL Exempt

# Checklist for Research Qualifying as SoTL Exempt

**with Guidelines for Protocol Preparation**

Principal Investigator (PI):

Department/Program:

Name of Project:

Directions: If you believe that your project qualifies for SoTL Exempt Review, please submit the following materials to the Chair of the IRB (as one document): (a) a completed electronic copy of this form; (b) a copy of your certificate of completion for the CITI online human subjects training program (please paste a jpg of this certificate into the IRB proposal). Please check all applicable items in Parts A and B and provide all relevant information in Part C**. Research activities will only be considered for SoTL exempt review when all items in Part A and at least one item in Part B apply.**

Note that the federal definition of an Exempt IRB Review does not exempt the project from IRB oversight or from obtaining informed consent from participants. The “exempt” refers to exemption from follow-up review by the IRB, after the project has been reviewed and approved.

**Part A:**

1. \_\_\_\_\_ The research does not involve prisoners, fetuses, pregnant women, the seriously ill, or mentally or cognitively compromised adults as participants.

2. \_\_\_\_\_ The research does not involve the collection or recording of behavior which, if known outside the research, could reasonably place the participants at risk of criminal or civil liability, be stigmatizing, or be damaging to the subject's financial standing, employability, insurability, or reputation.

3. \_\_\_\_\_ The research does not involve the collection of information regarding sensitive aspects of the participants' behavior (e.g., drug or alcohol use, illegal conduct, sexual behavior).

4. \_\_\_\_\_ The procedures of this research present **no more than minimal risk** to the subject (where minimal risk means that the probability and magnitude of harm or discomfort anticipated in the proposed research are no greater than those ordinarily encountered in daily life).

**Part B (at least one item should apply – please underline or highlight the relevant portion(s) of the chosen bullet points)**

1. \_\_\_\_\_\_ The research will be conducted in established or commonly accepted educational settings and will involve normal educational practices (e.g., research on regular and special education instructional strategies, research on instructional techniques, curricula, or classroom management methods).

2. \_\_\_\_ Collection of data from voice, video, digital or image recordings made for SoTL research purposes where identification of the participants and/or their responses would not reasonably place them at risk of criminal or civil liability, be stigmatizing, or be damaging to the participants' financial standing, employability, insurability, or reputation.

3. \_\_\_\_ Research on individual or group characteristics or behavior (including but not limited to research involving perception, cognition, motivation, identity, language, communication, cultural beliefs or practices, and social behavior, or research employing surveys, interviews, oral history, focus groups, program evaluation, human factors evaluation, or quality assurance methodologies).

4. \_\_\_\_ Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior. [Although confidentiality will be strictly maintained, information will not be recorded anonymously, e.g., use will be made of audio-or videotapes, names will be recorded, even if they are not directly associated with the data).]

## Part C

Please provide the following information. Compose your responses within the form.

1. What is your SoTL study designed to study, what is your SoTL research question?

This should not just be a one-sentence answer, but an explanation grounded in your observations from previous iterations of this course and/or the SoTL literature.

2. Describe the proposed subject sample. For Wabash students who are not yet 18 years old, please send them to the IRB chair to obtain parental consent; please keep this in mind if freshmen are in your course.

3. How will participants be recruited and selected?

4. Describe fully the following:

a) all research methods and procedures that will be employed in this SoTL study. Which specific assignments, or which unit(s) of the semester, will help you address your SoTL research question? Are you asking anything additional of those students participating in your SoTL project, over other students in the class? If new materials for this SoTL project are developed during the semester, please submit them to the IRB as an addendum to this proposal.

b) approximately how much time each subject is expected to devote specifically to the SoTL research, beyond regular course assignments.

c) how data (e.g., student work samples) will be collected and recorded (with or without identifiers? what instruments, materials, or equipment will be used? will audio- or videotapes be employed in data collection?). **Append electronic copies of all written instruments and/or describe any apparatus with which participants will be in direct contact**.

d) methods for preserving confidentiality. This includes plans for storing data or recordings (in your private files/computer) and any plans to post data to a public repository (e.g., Open Science Framework), or disposing of such data at the conclusion of the research.

5. Indicate any benefits that are expected to accrue to participants, or to the field, as a result of this research.

6. Describe any relationship between researcher and participants. Will you be collecting data on your own class, or someone else’s, or both? Please explain how a teacher/student relationship will affect the subject's ability to participate voluntarily and how the principal investigator will handle it.

7. Informed Consent: Please complete the consent form below, as appropriate for your SoTL project and course.

**Appendices**: Please append to this document any additional information that is applicable, including consent forms, debriefings, survey instruments, etc. Also include a copy of the certificate of completion for the CITI online human subjects certification training program. Note that we are no longer requiring the Research Review Declaration for faculty work.

**References**

Please include a reference section, including any cited works.

**Consent for Scholarship of Teaching and Learning Research Study**

**Principal Investigator:** Faculty name

**Title of Study:** Fill in your title

**Institution:** Wabash College

Name of participant (please print)\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Age\_\_\_\_\_\_\_

**The following information is provided to inform you about the research project and your participation in it. Please read this form carefully. Please feel free to ask any questions you may have about this study and the information given below.**

An important aspect of innovative teaching in an ever-changing world is to continually develop new ideas for \_\_discipline-specific statement\_\_; this area of research is known as Scholarship of Teaching and Learning, or SoTL. When a new classroom activity is successful, educators often share their ideas through publication in journal articles. Consequently, I would like to collect information from you to determine the educational effectiveness of the materials developed in \_\_course name/number\_\_.

**1. Purpose of the study**

The purpose of this SoTL study is to obtain information about the effectiveness of new activities as they relate to the learning outcomes for this course. Details concerning the specific purposes of this research will be described at the conclusion of the study, \_\_state when this is – end of the semester?\_\_. You may withdraw your consent for having your work included in the study at any time.

**2. Description of procedures, approximate duration, anticipated total number of participants**

Participation in this SoTL study will involve completing the assignments regularly associated with the course throughout the semester. The materials that will be collected for this study are \_\_list potential data sources here\_\_. The materials will be stored in a location (physical or electronic) that is accessible only to me, and any identifying information will be removed to the extent possible.

Participation in this SoTL study should not take any additional time beyond traditional coursework.

I am aiming to collect data from ## students for this study.

**3. Description of the discomforts, inconveniences, and/or risks that can be reasonably expected as a result of participation in this study.**

There are no anticipated discomforts or risks from participating in this research, beyond any that would normally arise from school work.

**4. Confidentiality of participant identification.**

The information in the study records will be kept confidential. Data will be stored securely. If there is a document that I might like to quote from, I will specifically ask on that document for consent to quote your work, anonymously.Participant identification will not be included in any publications or presentations of this SoTL study.

**5. Anticipated benefits resulting from this study**

Although we do not anticipate any direct benefit to you outside your learning experience, your participation in this SoTL study may lead to the publication of materials for use in other classrooms and will help educators understand what strategies can help students learn new material and retain that knowledge more effectively.

**6. Contact information**

If you have questions about this study, you may contact \_\_name\_\_ at \_\_phone number\_\_ (or email@wabash.edu). If you have general questions about giving consent or about your rights as a participant, you may contact the Chair of the Wabash College Institutional Review Board, Dr. Karen L. Gunther, at guntherk@wabash.edu or 765/361-6286.

**7. Access to the results of this study**

The results of this SoTL study may be presented at professional conferences. The results may be submitted for publication in an academic journal. Contact \_\_your name\_\_ if you are interested in the final results.

**8. Your rights as a volunteer:**

**Your participation in this SoTL study is voluntary and will in no way affect your grade in this or any other course. Although I do expect you to do the work required of all students enrolled in this course, you may choose to not have your work included in the data for this study. You also are free to withdraw permission for use of your work for this study, at any time, without penalty.**

**STATEMENT BY PARTICIPANT**

**I have read this consent form, or the material in this consent form has been explained to me verbally. All my questions have been answered, and I freely and voluntarily choose to participate. By signing here I also verify that I am at least 18 years old. (For participants under 18 years old, please contact the Chair of the IRB, Dr. Karen Gunther, at guntherk@wabash.edu, to arrange for parental consent.) I understand that I may withdraw at any time.**

Signature\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Professor\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_