

Teachers College, Columbia University

Human Subjects in Research

Request for Institutional Review Board Approval - New Study Application

PLEASE NOTE: ONLY VERSION 2009-10 WILL BE ACCEPTED

INSTRUCTIONS:

1. Please answer all questions in the space beneath them. Unlike previous versions of the application, there is no need to attach a separate project description
2. Assemble your application in the following order: (1) Application (2) Informed Consent (template on our website www.tc.edu/irb) and Participant's Rights form; (3) append Assent for Minors, interview scripts, measurements/tools and/or recruitment materials and permission letters as appropriate. Applications with highly technical language and/or jargon, especially in the Informed Consent, will be returned without review.
3. As of April 30, 2002, the IRB will no longer review applications from investigators who have not fulfilled the **TC Human Subjects Protections Training Requirement**. See the TC web at www.tc.edu/irb for more information.
4. **EFFECTIVE FEBRUARY 1st, 2010**, please submit the following:
 - o one (1) paper-based application containing all **original signatures** and supporting documentation, **to be sent or delivered to the IRB Office within the Office of Sponsored Programs, Box 151, Room 422K Thompson Hall**
 - o one (1) PDF document [**email to mbrooks@tc.edu**] containing **the application** and all of the above supporting documentation with the following exceptions:
 - NO *translations* of Informed Consent, Participant's Rights and Assent for Minors Forms
 - NO permission letters from institutions or organizations
 - NO Certificates or proof of having taken Human Subjects Research training
5. PLEASE NOTE EFFECTIVE May 19, 2009 DEPARTMENT CHAIRS SIGNATURE NO LONGER REQUIRED

SECTION I: INVESTIGATOR: Check one: [] Student [X] Faculty [] Staff [] Other _____

Principal Investigator's Name: (Last) Varenne (First) Herve

Department: International and Transcultural Studies (Students: Faculty Sponsor Name):

Address: (where you want notification sent) 525 W 120th Street Box 115, New York, NY 10027

Telephone #s: Home: 212.663.4973 Campus: 212.678.3190

E-mail: hhv1@columbia.edu

Date of Dissertation Proposal Hearing: ____/____/____ (required for research related to doctoral dissertation; if you are a student, please explain the nature/purpose of research if not related to dissertation)

If the project has additional investigators, complete SECTION VII: ADDITIONAL INVESTIGATORS.

SECTION II: PROJECT/STUDY INFORMATION

Title: Settings for Education in the Inner City

- Anticipated Start & End Dates: 06/01/10 – 05/31/11

Please note: No work with subjects may begin prior to approval by the IRB

SECTION III: SUBJECT POPULATION

Indicate the specific subject population(s) that will be involved in the research project.

Adults (competent to consent) Adults (not competent to consent) Minors (under 18 years old) Prisoners
Pregnant Women Developmentally Disabled – **if so please specify which specific population in this area**
Individuals with Pervasive Developmental Disorders Non-English speaking

SECTION IV: FUNDED PROJECTS

Has this project been submitted for external funding? Yes No -- If yes, complete below:

What kind of funding will this project receive? None Grant/Contract Fellowship

Principal Investigator on Project: Dr. Herve Varenne Ext. 3190

Funding source: Teachers College, Columbia University Provost's Investment Fund

TC Index # if applicable: _____

Project Title: _____

Are the contents of this protocol identical to those described in the funded proposal application? Yes No

SECTION V: REQUEST FOR PROTOCOL REVIEW

Please see the **attached** Review Categories page (also located on our website at www.tc.edu/irb) and indicate the type of review you are requesting: Exempt, Expedited or Standard. If you select either **Exempt** or **Expedited**, circle the number of the review category that best fits your research. **Final decisions about the appropriate level of review rest with the IRB.**

___ I am requesting an **EXEMPT REVIEW** under category: 1 2 3 4 5 6

Submit to the IRB 1 (one) ORIGINAL paper-based Application + 1 (one) PDF version per above Instructions.

X I am requesting an **EXPEDITED REVIEW** under category: 4 5 6 7 8 9 (Under category 6 and 7)

Submit to the IRB 1 (one) ORIGINAL paper-based Application + 1 (one) PDF version per above Instructions.

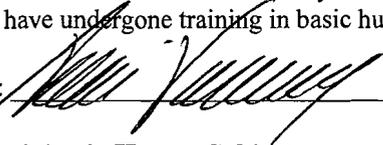
___ I am requesting a **FULL COMMITTEE REVIEW** because my research does not precisely apply to any of the categories specified in the EXEMPT or EXPEDITED review categories.

Submit to the IRB 1 (one) ORIGINAL paper-based Application + 1 (one) PDF version per above Instructions.

PLEASE NOTE: Applications that qualify for a **FULL COMMITTEE** review must be received at least 10 working days before the IRB Committee meeting date. Check the IRB web site for a listing of IRB Committee dates and application receipt deadlines. Applications that qualify for **Exempt** or **Expedited** review are reviewed on a rolling basis.

SECTION VI: SIGNATURES

INVESTIGATOR: I accept responsibility for the research protocol described herein. I am aware of all the procedures to be followed & I will monitor the research & notify the IRB of any CHANGES or significant problems. Further, I certify that I have undergone training in basic human subjects protections.

Principal Investigator's Signature:  Date: 5 / 4 / 2010

I have completed the required training in Human Subjects research: on-line workshop other
NOTE: Proof of completion must be attached to application.

FACULTY SPONSOR (Required for student research): I accept responsibility for the research protocol described herein by the student/investigator working under my direction. I further attest that I am aware of all procedures to be followed, will monitor research & will notify the IRB of any CHANGES or significant problems. I certify that I have undergone training in basic human subjects protections.

Faculty Sponsor's Signature: _____ Date: ____/____/____

Print Faculty Sponsor's Name: _____

SECTION VII: ADDITIONAL INVESTIGATORS AND KEY PERSONNEL

Fill out this section if additional investigators or research assistants will work on this project. Attach additional pages if necessary.

1. ADDITIONAL INVESTIGATOR Check one:

Student Faculty Staff Other _____

Name: (Last) de Wolfe (First) Juliette

Department: International and Transcultural Studies

Telephone#: 703.772.3072 E-mail: jld2158@columbia.edu

• Signature  Date: 5 / 3 / 10

By signing above, I certify that I have undergone training in basic human subjects protections and will conduct my work on this project according to established ethical principals and the protocol contained in this application.

2. ADDITIONAL INVESTIGATOR Check one:

Student Faculty Staff Other _____

Name: (Last) Wessler (First) Sarah

Department: International and Transcultural Studies

Telephone#: 646.284.3030 E-mail: saw2022@columbia.edu

• Signature  Date: 5 / 3 / 2010

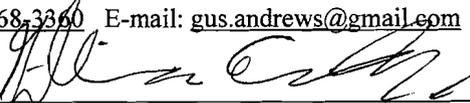
3. ADDITIONAL INVESTIGATOR Check one:

Student Faculty Staff Other _____

Name: (Last) Andrews (First) Gillian

Department: Mathematics, Science, and Technology

Telephone#: 917. 568.3360 E-mail: gus.andrews@gmail.com

• Signature  Date: 5 / 4 / 10

By signing above, I certify that I have undergone training in basic human subjects protections and will conduct my work on this project according to established ethical principals and the protocol contained in this application.

SECTION VIII: Protocol Description

Please answer each question in the space below it

SUBJECTS

1. Who will your potential subjects be? Please check the subject population(s) that will be involved in the research project:

Adults (competent to consent) Adults (not competent to consent)

Minors (under 18 years old) Prisoners Pregnant Women

Developmentally Disabled Non-English speaking

2. Please describe their anticipated age range, gender, race/ethnicity (if applicable) and/or any important characteristics.

Up to 50 adults and children will be the focus of our attention (key informants). They will be speakers of English. Gender, religion, race, ethnic background, socio-economic and health status, will not be criteria. These key informants will be entry points to small networks of closely related persons (family or household members, peer groups, etc.) that are the settings for much of the interpersonal processes that we deem educational. The final sample may include information,

often quite minimal, about several hundred individuals, many of whom we will never meet personally. The key informants will be selected on the basis of a theoretical sample with an emphasis on a variety of life conditions. We intend to recruit people in the various main demographic, economic, and school achievement, categories. We expect most of the people to be, in census terms, Black /African Americans and Latino/as in family households, with income of less than \$50,000, with little or no college. We will also recruit people with more income or schooling, including professionals and the more prosperous Whites and Asians now moving in the area. We also expect to meet individuals with various developmental disabilities.

3. Please describe the purpose of your research. Provide relevant background information and scientific justification for your study. You may provide citations as necessary.

This is a proposal for the third step in a larger project exploring settings for education in inner city neighborhoods. This project was originally approved by the Teacher College Institutional Review Board on December 21, 2006 under the title: Settings for Education in the Inner City, and is now being submitted for a new review.

This new step will focus on adults in their non-professional roles (as family members, members of church congregations, participants in any number of programs, etc.) and their children. Our main research questions are: What kind of language or discourse do adults use when describing the conditions of their lives? What kind of language or discourse do they use when attempting to change these conditions? How do they tell the stories of their transformations? The techniques used will consist mostly of observations in public, semipublic and private settings where people talk to each other about their conditions, interviews with adults, including some life history interviews, and visits to homes, clubs and other such private spaces.

This research builds on recent work by Professor Hervé Varenne (2008, 2009, forthcoming) intended to refocus research in education by refining the definition of what is to count as education beyond the distinctions usually made between the “formal” and the “informal,” or learning “in” school vs. learning “outside” of school. While it is easy to say that education is much more than school learning, most research in the social sciences “of education” has ended up being conducted in schools or, more invidiously, in the terms set by schooling. This has led, among other things, to an emphasis on explanations of school success/failure which end up reconstructing deficit models—even when the intention of the research is precisely to move beyond such models (Varenne and McDermott 1998). Our overall goal is to recast educational research so that it encompasses schooling as one setting among many. Identifying what, among all that happens in families and communities, helps or hinders school performance may be a useful task—even if it risks labeling again some families and communities as “lacking” that which others have. But even if the risk is worth taking, we are left with little understanding of what families and communities do that is both fundamentally educational and altogether independent from school strictures. We are thinking of such matters as education into religion, health, parenting, new technologies, political ideology, discourses about social and economic conditions, the popular arts, and indeed schooling itself as an object of knowledge and activity

for families, local groups, and leaders who, through their political activities actually constitute the school and what can happen there.

Our goal is to explore the life of people in inner city neighborhoods to highlight what people do there that is arguably educational. We start with the postulate that people, everywhere, unceasingly, and always in concert with others, work at changing themselves and their consociates through often difficult deliberations. This is the deliberate and deliberative work in which we recognize education to the extent that it involves the discovery of particular forms of ignorance, various searches for getting knowledge, for identifying further ignorance in oneself and others, for teaching. In this perspective, the concern is less with the outcome of education (what *has been* learned) than the process of education (what *is being* learned). In this perspective, what is to remain most salient is the interaction among the people involved in the activity, the organization of this interaction, and the evolution of this organization as people discover the consequences of earlier moves.

In Lawrence Cremin's first approximations of the overall postulate about the ubiquity of education and its peculiarly "deliberate" aspects (1974), he wrote about education happening in many "institutions" beyond the school (churches, the media, clubs, etc.). In our current approximation, we emphasize "settings" and "occasions" when members of a collectivity discuss their conditions and attempt to transform each other (through teaching, preaching, persuading, explaining, justifying, etc.). Such a collectivity can be as small as two people arguing, a "family," or wider groupings where people are brought together, willingly or not, and end up working at transforming each other. These "communities of practice" (Lave and Wenger 1991), as they have been called in recent social scientific writings, are ubiquitous in the everyday life of all human beings. They are the occasions when personal lives are built with the resources made available, and also when personal lives are limited by the barriers others often place on personal development.

Our intention is to report on the extent of the activities of people in inner city neighborhoods as they educate themselves and each other about their conditions and what they can do about it. Against much theorizing that people in oppressed situations are blinded by the forces that legitimize the mechanisms that constitute this oppression (Bourdieu and Passeron 1977/1970), we are convinced on the basis of preliminary research and much theorizing (de Certeau 1980/1984; Garfinkel 2002; Rancière 1991/1999) that a different way of looking at familiar experiences will reveal complex forms of practical understandings that are not usually well documented. Where others have seen deficits, or even sometimes searched for them, we will be looking for forms of knowledge and, most importantly, forms of seeking new and more powerful knowledge—that is forms of education.

4. Federal guidelines state that research cannot exclude any classes of subjects without scientific justification. Will your study be purposely excluding any classes of subjects? (e.g. children 17 and under, by gender, class, race) If so, please justify this.

We will not exclude any classes of subjects.

5. Please state your research question (one or two sentences).

Through public, semi-public, and private situations, how do people in inner city neighborhoods education themselves and each other about their conditions and what they can do about these conditions?

6. What specific data will you collect and how will the subjects you choose help to answer your research question?

Participants will first be asked to respond to questions put to them in semi-structured interview format. This initial interview would last about one hour. If they are willing they will be asked for a follow-up life-history interview (for another three to four hours) and for introduction to their close networks. We will ask permission to visit some of the meetings of these networks (in households, at parties, or other settings). Given that our presence as researchers depends on the hospitality of participants, the amount of time investment will largely depend on their preferences. This might range from a few minutes to several hours. The interviews will be audio-taped if we are given permission. If we develop the necessary trust, and after several visits, we may ask for permission to video-tape scenes in their homes or similar settings. The camera will always be visible. All people present will know that they can refuse to be taped.

DESCRIPTION OF RECRUITMENT AND PROCEDURES

7. Please describe your recruitment methods. **How** and **where** will they be recruited (flyers, general announcement, word-of-mouth, snowballing, etc.)?

The initial possible participants will be identified through contacts we will be making in various settings (including the settings that were part of the first stages of our research, e.g. churches, after-school programs, and other community groups). We will also use chance contacts made in public settings (buses, parks, restaurants, etc.). In all situations, we will use “snow ball” techniques by asking initial participants for introductions to friends, acquaintance or neighbors that might also be willing to talk with us. The initial encounters will be public or semi-public sites. Further observations may be made in homes, street corners and other such places where we will enter as guests of the persons of focus. We will also post flyers about the study and encourage participants to participate by word-of-mouth.

8. Are you recruiting subjects from institutions other than Teachers College? If so, documentation of permission or pending IRB approval from that institution is required with this submission.

The participants will not be recruited through institutional representatives and we will not ask any such representatives for information about the people of focus.

9. How many subjects are you planning to recruit?

Up to 50 adults will be the focus of our attention (key informants). These key informants will be entry points to small networks of closely related persons (family or household members, peer groups, etc.) that are the settings for much of the interpersonal processes that we deem educational. The final sample may include information, often quite minimal, about several hundred individuals, many of whom we will never meet personally.

10. Please describe what activities your subject will be engaging in (e.g. surveys, focus groups, interviews, diagnostic procedures, etc.)

Interviews (including life history interviews), focus groups, being observed during routine activities of everyday life, and home visits

*****PLEASE NOTE:** If you are collecting any private medical information from your subjects, please see our website www.tc.edu/irb under Forms and Guidelines for the HIPAA consent document.

11. How long will your subjects be participating in this study (duration of activities and overall duration of study)? See below.

Choose all that may apply and complete:

Single event lasting 1 hour # of minutes/hours

Multiple event participation over 6-10 # of weeks. If so, please describe activities briefly (e.g. pre-test, intervention, post-test, etc.) (please see * below)

Expected total time participating in study hours/days/weeks depending on the comfort level and available time of the participant (days, weeks, months, etc.)

Follow-up? Y/N yes If yes, after what period of time? Possible casual follow-ups with participants we have created a comfortable relationship with.

*The initial interview would last about one hour. If they are willing they will be asked for a follow-up life-history interview (for another three to four hours) and for introduction to their close networks. We will ask permission to visit some of the meetings of these networks (in households, at parties, or other settings). Given that our presence as researchers depends on the hospitality of participants, the amount of time investment will largely depend on their preferences. This might range from a few minutes to several hours.

12. Where will your research take place specifically? (classroom, outside of classroom, waiting room, office, other location)

The initial encounters will be public or semi-public sites. Further observations may be made in homes, street corners and other such places where we will enter as guests of the persons of focus. Also, institutions such as offices, government buildings, private schools, etc. may be entered with the participant when we happen to be following them in their routine. We will not enter parts of the institutions not opened to the people we are following.

13. *****NOTE/FOLLOWUP:** If you are working with students and the study will take place during class time, please state the alternative activities you will have available for the students who will not be participating (This should also appear in consent form).

This is not applicable to this project.

14. Will subjects be remunerated for their participation? If, so please describe.

There will be no direct remuneration to the participants. In similar circumstances participants have enjoyed the opportunity to tell their stories to outsiders unfamiliar with them. We will not directly compensate the participants, but will make gifts according to the practices of the groups of focus (when visiting, at life transitions, etc.). We will also make available our expertise with schools and other institutions to the service of the people if asked.

*****NOTE:** If using a lottery system, please remember to state odds of winning in consent form.

15. Will deception be used? If so, please provide a rationale for its use. How will subjects be debriefed afterward? Submit debriefing script. Scripts should include a statement that gives your subjects the opportunity to withdraw his/her participation at that time.

No deception will be used.

16. Will you have a control group?

No control group will be used.

17. Will you be videotaping your subjects? If so, please describe in detail.

Please note that the IRB will only approve videotaping when there is adequate scientific and ethical justification.

Once we have gotten to know the family well, and explained to them the purposes of the taping, the risks and the uses of the method (and to the extent that they are willing), we will video-tape interactions in two or three settings when several persons interact (such as a dinner, activity

planning, ceremony). From each of these tapes, a few segments will be selected for further analysis. These segments will be a few minutes long each, at most, and will be chosen at times of least potential tension.

All researchers conducting inductive research building on close observation of human behavior in the settings in which they occur are keenly aware of the difficulty of such observations, particularly at the moment to moment scales of joint, ongoing, face to face interaction. Classroom interactions and family conversations, are extremely difficult to record in the detail of their unfolding. Starting in the 1950s, in fields as diverse as clinical and social psychology, anthropology, sociolinguistics, ethnomethodology, etc., the use of mechanical means for recording interaction, from audio-taping to video-taping, has been mandated for the research to be acceptable when questions relating to the details of inter-personal relationships are being addressed.

CONFIDENTIALITY PROCEDURES

18. How will you ensure the subjects' confidentiality? Describe in detail your plans for ensuring confidentiality of data regarding subjects.

All notes and other forms of raw data will be kept in a locked cabinet at Teachers College and in password protected directories. Only small parts of these raw data will be included in publications or oral presentations. At these times particular care will be taken to ensure that individuals are not identifiable. This will be done through the use of such techniques as pseudonyms, composite vignettes, the blurring faces and other identifying markers in visual material, and others that will anonymize the data.

*****PLEASE NOTE:** If you will be remunerating subjects after their participation, please make it clear how will you link their names/contact information confidentially to their compensation?

19. If you will be audio/videotaping, please state how you will ensure that all subjects have consented to be recorded? (This must also be clearly stated in consent form)

Key informants will be asked to sign the simple "consent form for interviews." If we develop the necessary trust, we will ask for permission for more detailed observations in their home and will ask them to sign the separate "consent form for systematic observations" which includes a section about video-taping. We will not proceed to this stage until after several visits and after rapport has been established and the key informants are well aware of our goals and practices. If they allow us to proceed, we will ensure that the camera is always visible and that all people present know that they can refuse to be taped. We will always be ready to explain why we are video-taping, and what will be done with the tapes. The main adults of focus will be asked to sign a consent form for themselves and their children. If other adults are around they will also be

asked if they object to us documenting observations and we will offer for them to sign the consent forms.

20. Will data be collected anonymously? Will you be able to link the data? If not, how will subjects' identity/information be protected? (e.g., codes or pseudonyms, etc.)?

All data collected from interviews and observations within the institutions will be kept anonymous to everyone but the members of the research team. Particular care will be taken to ensure that individuals are not identifiable in publications from the project including oral presentations in educational settings. This will be done through the use of such techniques as composite vignettes, the blurring faces and other identifying markers in visual material, and others that will anonymize the data. Pseudonyms will be used for all participants' names.

21. Where will coding and data material be stored, such as "in a locked file cabinet"?

All records will be kept in locked cabinets at Teachers College and in password protected computer directories.

22. Will you need bilingual interpreters?

No. All participants will be English speakers.

23. If bilingual interpreters or interviewers will be used, what will you do to ensure confidentiality of the subjects? What are your procedures for recruiting interpreters/interviewers? Indicate the name of the interpreter/interviewer and for whom he/she works. Submit copies of all questionnaires or interview questions for each subject population.

Not applicable.

DESCRIPTION OF RESEARCH RISKS & BENEFITS

24. What are the potential risks, if any, (physical, psychological, social, legal, or other) to your subjects? What is the likelihood of these risks occurring, and/or their seriousness? How will you work to minimize them?

The risks involved during our interactions with the participants will be minimal. Interviewing may involve such mild discomfort as boredom and irritation at the questions or interviewers. From our experience, these are rarely strong enough to interrupt the interview though, if the participant objects, the interview will immediately cease. These risks are somewhat amplified during the longer life-history interviews. The risks involved in participant-observations of larger

group interactions are similarly minimal to the extent that the observer does not seek to influence the evolution of the event. There are somewhat more risks at research publication time if matters that are reported or observed are matters that the participant did not, at the time of the interview or observation, notice as potentially embarrassing. The anonymization procedures should mitigate this, as well as our analytic stance which do not require the linking of observations to individuals at the time of publication.

In the cases when we videotape, we will deal with the two separate kinds of risks that arise in such research at the time when they arise, that is during analysis, and then publication. There is very little risk if any at the time of the taping itself, particularly since our form of video-taping is not very different from the one most families now do routinely in their homes. We will offer to give the families a copy of the raw tape and will give them a chance to withdraw permission to use the tape. We will not however involve any members of the family in the analysis as it has happened, in other cases, that people have been disturbed by what they can over-interpret what looks like tension in the record. The second risk occurs at the time of publication but the methods used for anonymization (see above) should mitigate these.

25. What are your plans for ensuring necessary intervention in the event of a distressed subject and/or your referral sources if there is a need for psychological and or physical treatment/assistance?

Participants will be notified that they may discontinue the study at any time, and if any discomfort of the participant should arise, the interview will immediately cease.

26. What are your qualifications/preparations that enable you to estimate and minimize risk to subjects?

All members of the team either hold doctorates in the social sciences or are advanced doctoral students. This is adequate for research that focuses solely on the routine of everyday life.

27. What are the potential benefits of this study to the subjects? If there are **direct** benefits, please state so. If there are no direct benefits, please simply state the benefits that *may be possible* from your research. You cannot *promise* a result of your study as being a benefit. It is also important to note that remuneration or any reward for participation is not considered a benefit.

There will be no direct benefit to the participants. In similar circumstances participants have enjoyed the opportunity to tell their stories to outsiders unfamiliar with them. We will not directly compensate the participants, but will make gifts according to the practices of the groups of focus (when visiting, at life transitions, etc.). We will also make available our expertise with schools and other institutions to the service of the people if asked.

INFORMED CONSENT PROCEDURES (please use template on IRB website www.tc.edu/irb in preparing your consent forms)

Informed consent is a process, not a form.

28. What are your procedures for obtaining subject's informed consent to participate in the research?

After casual contact, and before stating more incursive interviewing or taping, we will ask the informants to sign our consent forms. Potential participants will be contacted either by phone, e-mail, or in person. These early contacts will establish the status of the team as researchers from Teachers College, Columbia University, though it will be made clear that they are not representatives of the institution. The exact procedures will vary depending on the type of interaction

29. How will you describe your research to potential subjects? *(Please note: if working with a population under eight years of age, a script is necessary).*

We will explain in lay language that we are interested in learning how the participants learn about one of our areas of concern (e.g., health, autism, technology).

- Brief interactions in public or semi-public situations: At such moments we will introduce ourselves as researchers and make it clear to our interlocutors that they do not have to continue talking with us. We will not ask them to sign the consent forms as this would not be practical.
- Informal and unstructured quasi-interviews, as well as more formal interviews: after an oral introduction to the project we will ask the participants to sign a consent form. (See attached “Consent form - Interviews”)
- Visits to homes and other private settings: We will follow the same process as with interviews by introducing the project to the persons inviting us and asking them to sign a consent form specifically designed for these (See attached “Consent form - Observations”). As part of this process we will ask them to make it clear to everyone to whom we might be introduced that we are researchers from Columbia and that no one is required to talk to us. We will not attempt to have everyone present sign consent forms since this would be a major disruption of the event.
- Individuals under 8 will not be interviewed. If they are observed, their parents will first grant consent, and then the observation will be conducted.

30. What will you do to ensure their understanding of the study and what it involves?

We will remain in ongoing conversations about the research as we get to know the people and their concerns better.

31.If you are recruiting students from a classroom during normal school hours, what will the **alternative** activities for those who wish not to participate?

Not applicable.

32.Are you a teacher, administrator, counselor, case worker or in any other way affiliated with the research site? If so, how will you insure voluntary participation and minimize the appearance of coercion in your study?

Not applicable.

Submit all consent forms/scripts, using the template on the IRB website. **Drafts of consent forms will not be accepted.** Each consent form must be a separate document and titled for its respective subject population (e.g. teachers, parents, etc.). All consent documents must be in English, even though you may translate them. **All consent documents should be printed on Teachers College letterhead.** If your research project requires using documents that are translated into other languages, please submit both the translated English version AND the translated document with your application.

You must sign and date the document. TC strongly urges investigators to use back translation (translation into the target language and back into English) as a method of ensuring the translation's accuracy. Revised consents will also need to be translated.

33.Use this section to provide a request for a full or partial waiver of informed consent. Please see the following link at the OHRP for further information:
www.hhs.gov/ohrp/humansubjects/guidance/45cfr46.htm#46.116

RESEARCH SITE(S)

34.Where will research be conducted? If you are conducting research or any part of your study, or recruiting subjects from schools or other institutions, approval must be obtained from the appropriate administrator, IRB, or representative of that institution. Submit the letter(s) of approval or letter(s) indicating that approval has been granted "pending the receipt of TC IRB approval".

The initial encounters will be public or semi-public sites. Further observations may be made in homes, street corners and other such places where we will enter as guests of the persons of focus.

The participants will not be recruited through institutional representatives and we will not ask any such representatives for information about the people of focus.

NOTE: IF YOU ARE CONDUCTING ANY PART OF YOUR RESEARCH WITHIN NYC BOARD OF EDUCATION SCHOOLS: It is required that you receive approval from TEACHERS COLLEGE prior to submitting to the NYC Board of Education's Division of Assessment and Accountability. Applications are available on the TC Web at: <http://www.tc.edu/irb>.

Please attach Informed Consent, Participants' Rights and Assent for Minors, Recruiting materials, survey materials, etc as appropriate.

Categories of IRB Review--Quick Reference

EXEMPT RESEARCH - Constitutes no more than minimal risk AND only involves human subjects in one or more of the following categories:

1. Research conducted in established educational settings, involving normal educational practices, such as: (i) research on education instructional strategies or (ii) research on the effectiveness of or comparison among instruction techniques, curricula, or classroom management methods.
2. Research involving the use of (a) educational tests (cognitive, diagnostic, aptitude, achievement); (b) surveys, interviews, or observation of public behavior* UNLESS (i) information is recorded with identifiers linked to subjects and (ii) subjects' responses could place subjects at risk (e.g., criminal or civil liability, financial standing, employability or reputation).
*No exemptions are allowed under (b) when children are involved in survey/interview procedures, or observations when investigator participates in activities being observed.
3. Research involving educational tests, surveys, interviews, or observation of public behavior is exempt if: (I) the subjects are elected or appointed public officials or candidates for public office; or (ii) federal statute requires confidentiality of identifiable information to be maintained permanently.
4. Research involving the collection or study of existing data, document, or records. Sources must either be publicly available or information must be recorded without identifiers linked to subjects.
5. Research conducted by or subject to the approval of federal department or agency heads and designated to evaluate possible changes in or alternatives to those programs or changes in methods of payment for benefits under those programs.
6. Taste or food quality evaluation involving wholesome/safe foods.

Note: Federal regulations indicate that certain research is exempt from review. However, under Teachers College's Policy for the Protection of Human Subjects, a research protocol proposing the use of human subjects must be submitted to the IRB to determine if it qualifies for exempt status. Exemptions do not apply to research conducted on pregnant women, prisoners, or vulnerable populations.

EXPEDITED RESEARCH-- Constitutes no more than minimal risk AND only involves human subjects in one or more of the following categories:

4. Collection of data through noninvasive procedures (not involving general anesthesia or sedation) routinely employed in clinical practice, excluding procedures involving x-rays or microwaves. Where medical devices are employed, they must be cleared/approved for marketing. (Studies intended to evaluate the safety and effectiveness of the medical device are not generally eligible for expedited review, including studies of cleared medical devices for new indications.) Examples: (a) physical sensors that are applied either to the surface of the body or at a distance and do not involve input of significant amounts of energy into the subject or an invasion of the subjects privacy; (b) weighing or testing sensory acuity; (c) magnetic resonance imaging; (d) electrocardiography, electroencephalography, thermography, detection of naturally occurring radioactivity, electroretinography, ultrasound, diagnostic infrared imaging, doppler blood flow, and echocardiography; (e) moderate exercise, muscular strength testing, body composition assessment, and flexibility testing where appropriate given the age, weight, and health of the individual.
5. Research involving materials (data, documents, records, or specimens) that have been collected, or will be collected solely for nonresearch purposes (such as medical treatment or diagnosis). (NOTE: Some research in this category may be exempt from the HHS regulations for the protection of human subjects. 45 CFR 46.101(b)(4). This listing refers only to research that is not exempt.)

6. Collection of data from voice, video, digital, or image recordings made for research purposes.

7. Research on individual or group characteristics or behavior (including, but not limited to, research on perception, cognition, motivation, identity, language, communication, cultural beliefs or practices, and social behavior) or research employing survey, interview, oral history, focus group, program evaluation, human factors evaluation, or quality assurance methodologies. (NOTE: Some research in this category may be exempt from the HHS regulations for the protection of human subjects. 45 CFR 46.101(b)(2) and (b)(3). This listing refers only to research that is not exempt.)

8. Continuing review of research previously approved by the convened IRB as follows:

- (a) where (i) the research is permanently closed to the enrollment of new subjects; (ii) all subjects have completed all research-related interventions; and (iii) the research remains active only for long-term follow-up of subjects; or
- (b) where no subjects have been enrolled and no additional risks have been identified; or
- (c) where the remaining research activities are limited to data analysis.

9. Continuing review of research, not conducted under an investigational new drug application or investigational device exemption where categories two (2) through eight (8) do not apply but the IRB has determined and documented at a convened meeting that the research involves no greater than minimal risk and no additional risks have been identified.

Note: Expedited review categories 1-3 apply to biomedical research not typically conducted at Teachers College, and consequently do not appear on this list.

STANDARD REVIEW OF RESEARCH:

If your project does not precisely fit under any of the categories under either the EXEMPT or EXPEDITED review sections listed above, then it must be submitted under STANDARD review procedures. Standard Review is used for all projects involving vulnerable populations, except some minimal risk research involving children. Research involving deception and any research that entails more than minimal risk to the subject, even if it otherwise appears to fall into one of the exempt or expedited categories, must be submitted under standard review procedures.

Teachers College, Columbia University
INFORMED CONSENT -INTERVIEWS

DESCRIPTION OF THE RESEARCH: You are invited to participate in an exploratory research study of people and institutions involved in education outside of schools in your community. The goal is to highlight the extent of this informal education as it is provided in many different places: in after-school clubs, churches, mosques, support groups, online groups, parks, stores, etc., as well as families, groups of peers, etc.

You have been selected because you are active in New York City, whether as someone who lives there, or someone who works there. You will be asked questions about how you find out about what is important in your life, what you try to learn and from whom, what you try to teach (to your children, friends, people in institutions, etc.). These interviews will be audio-taped if you agree. We believe that audio-taping will allow us to be more accurate when reflecting your views. If you do not wish to be audio-taped, we will take notes.

The research will be conducted by members of the research team.

The research will be conducted at a location of your convenience.

RISKS AND BENEFITS: The risks associated with this study are similar to those one may experience during interviews with journalists (including mild irritation at the researchers, boredom) .

There will be no direct benefits to you. Because of our links to various institutions, we may be able to help, in a limited fashion, with access to some of their programs. There may be an indirect benefit to your community if the research is successful in making its strengths more noticeable to those who impact it. There will be no consequence to you if you decide not to participate or to participate only partially.

DATA STORAGE TO PROTECT CONFIDENTIALITY: The notes taken during the interviews and observations, as well as all tape recordings, will be kept in a locked cabinet at Teachers College, as well as on password-protected computer directories. No one but the members of the team will have access to these.

TIME INVOLVEMENT: Your initial participation will take approximately two hours. It may extend to a few more hours if you agree to follow-up interviews.

HOW WILL RESULTS BE USED: The results of the study will be used in research reports that may be published in scholarly journals and books, or presented at professional conferences. The research may be the basis of policy recommendations. In these reports every effort will be made to keep the confidentiality of the participants while accurately representing their words and their conditions. Pseudonyms and other methods will be used to anonymize you and any personal information about you.

Teachers College, Columbia University
INFORMED CONSENT -SYSTEMATIC OBSERVATIONS

DESCRIPTION OF THE RESEARCH: You are invited to participate in an exploratory research study of people and institutions involved in education outside of schools in your community. The goal is to highlight the extent of this informal education as it is provided in many different places: in after-school clubs, churches, mosques, support groups, online groups, parks, stores, etc., as well as families, groups of peers, etc.

You have been selected because you are active in New York City, whether as someone who lives there, or someone who works there. You have also been selected because you agreed earlier to be observed and expressed interest in helping us further with our research. In order to understand in greater detail how you and the people closest to you educate each other in the course of your everyday life, we are asking for your permission to visit your home or accompany you on outings at times when other adults and children are also present. At these times we will make general observations as so that we are least disruptive. We will take notes. We may also ask for permission to video-tape short segments of the event.

The research will be conducted by the members of the research team that you have gotten to know.

RISKS AND BENEFITS: The risks associated with this study are similar to those one may experience when guests visit that one does not know very well: small disruptions that require the guest to be instructed as to what (not) to do, or mild embarrassment at the behavior of some of the other people present.

There will be no direct benefits to you. Because of our links to various institutions, we may be able to help, in a limited fashion, with access to some of their programs. There may be an indirect benefit to your community if the research is successful in making its strengths more noticeable to those who impact it. There will be no consequence to you if you decide not to participate or to participate only partially.

DATA STORAGE TO PROTECT CONFIDENTIALITY: The notes taken during the interviews and observations, as well as all tape recordings, will be kept in a locked cabinet at Teachers College, as well as on password-protected computer directories. No one but the members of the team will have access to these.

TIME INVOLVEMENT: Your initial participation will take approximately a few hours over possibly a few days or weeks.

HOW WILL RESULTS BE USED: The results of the study will be used in research reports that may be published in scholarly journals and books, or presented at professional conferences. The research may be the basis of policy recommendations. In these reports every effort will be made to keep the confidentiality of the participants while accurately representing their words and their conditions. Pseudonyms and other methods will be used to anonymize you and any personal information about you.

Teachers College, Columbia University
Principal Investigator: Dr. Herve Varenne

Research Title: Settings for Education in the Inner City

I have read and discussed the Research Description with the researcher. I have had the opportunity to ask questions about the purposes and procedures regarding this study.

My participation in research is voluntary. I may refuse to participate or withdraw from participation at any time without jeopardy.

The researcher may withdraw me from the research at his/her professional discretion.

If, during the course of the study, significant new information that has been developed becomes available which may relate to my willingness to continue to participate, the investigator will provide this information to me.

Any information derived from the research project that personally identifies me will not be voluntarily released or disclosed without my separate consent, except as specifically required by law. If at any time I have any questions regarding the research or my participation, I can contact the investigator, who will answer my questions. The investigator's phone number is (212) 678-3190.

If at any time I have comments, or concerns regarding the conduct of the research or questions about my rights as a research subject, I should contact the Teachers College, Columbia University Institutional Review Board IRB. The phone number for the IRB is (212) 678-4105. Or, I can write to the IRB at Teachers College, Columbia University, 525 W. 120th Street, New York, NY, 10027, Box 151.

I should receive a copy of the Research Description and this Participant's Rights document.
If this observation is to be video/audio-taped:

I (_____) consent to be video/audio taped.

I (_____) do NOT consent to being video/audio taped.

The written and audio-taped materials will be viewed only by the principal investigator and members of the research team. Short segments of the written, audio taped materials may be viewed in university classrooms, meetings of professional associations or other similar settings after efforts have been made to preserve my anonymity.

My signature means that I agree to participate in this study.

Name: _____

Participant's Signature: _____ Date: ____/____/____

Investigator's Verification of Explanation

I certify that I have carefully explained the purpose and nature of this research to _____ (participant's name) in age-appropriate language.

He/She has had the opportunity to discuss it with me in detail. I have answered all his/her questions and he/she provided the affirmative agreement (i.e. assent) to participate in this research.

Investigator's Signature: _____ Date: ____/____/____

PARTICIPANTS RIGHTS
Principal Investigator: Dr. Herve Varenne

Research Title: Settings for Education in the Inner City

I have read and discussed the Research Description with the researcher. I have had the opportunity to ask questions about the purposes and procedures regarding this study.

My participation in research is voluntary. I may refuse to participate or withdraw from participation at any time without jeopardy.

The researcher may withdraw me from the research at his/her professional discretion.

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My signature means that I agree to participate in this study.

Name: _____

Participant's Signature: _____ Date: ____ / ____ / ____

Investigator's Verification of Explanation

I certify that I have carefully explained the purpose and nature of this research to _____ (participant's name) in age-appropriate language.

He/She has had the opportunity to discuss it with me in detail. I have answered all his/her questions and he/she provided the affirmative agreement (i.e. assent) to participate in this research.

Investigator's Signature: _____ Date: ____ / ____ / ____