



NTC Procedure for Institutional Review of Research Activities

The College Advancement department serves the Northcentral Technical College (NTC) community by reviewing proposals to conduct research at NTC by external individuals, as well as, by NTC staff and/or faculty. This review is intended to ensure that all required safeguards of the rights of research participants are met, and to minimize the risk of negative consequences befalling participants.

Research includes any activity that obtains generalizable data or obtains data for any purpose other than measurement of student performance for the student's benefit.

Examples of research that might require review include:

- Activities intended to provide material for presenting at a professional meeting or conference
- Activities that provide a benefit to the staff or faculty member that is independent of the interests of the student and/or College, such as gathering data for use in a paper, thesis, or dissertation
- Activities conducted at the request of a third party for external use

About the Institutional Review Board

The Institutional Review Board (IRB) was established to review all proposed research involving human subjects. We seek to ensure that an individual subject's rights and welfare are protected and all individuals are treated ethically.

The IRB is authorized to review, approve, require modifications in, or disapprove research activities conducted by or through the College using human subjects. The IRB will annually monitor compliance for research projects extending across academic years.

The committee ensures federal requirements are met for the protection of human subjects. We maintain procedures, forms and propose appropriate revisions.

The role of the IRB does *not* include evaluating:

- the soundness of the proposed research study
- the merits of the research design
- the potential contribution of the research to scholarly literature

The IRB only evaluates compliance with ethical standards concerning:

- informed consent
- confidentiality



- benefits or risk to participants
- the potential impact of the research on College resources or reputation
- the potential contribution of the research that is beneficial to the College

The Institutional Review Board is composed of:

The review process is administered through the College Advancement Department. The lead person for the IRB process is the Dean of College Advancement/Special Projects.

Committee Members:

College President (Chair)

Executive Vice-President

Vice-President of Learning

Vice-President of College Advancement

Other Executive Leadership as it pertains to their area of expertise and college leadership.

Records

IRB records, including applications, membership lists, and research reports, are maintained for a period of three years.

Prior to Conducting Research

If you are planning on conducting a research project at Northcentral Technical College (NTC), you will need to obtain approval of the IRB *prior* to collecting data. The purpose of this is to provide a single, comprehensive standard of protection for human subjects of research conducted by students, staff, faculty, or visiting researchers at NTC. The intent is to assure that investigators do not unduly put at risk or harm humans who are the subjects of research, and that the subjects of such research are aware of their rights as defined in Title 45, part 46 of the Code of Federal Regulations. *IRB approval must precede commencement of any work involving human subjects.*

Northcentral Technical College is committed to safeguarding the welfare, rights, and privacy of all persons who participate as subjects in research projects conducted under its auspices, and to ensuring that the subjects of such research are aware of their rights and the protections available to them. These safeguards derive from the following ethical principles, which were first articulated in the Belmont Report issued by the National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research in 1979.



IRB Review Process Overview

All research projects to be conducted at NTC, including that which the investigator believes falls into the Exempt category, must be submitted to the IRB.

Individuals seeking to conduct research activities that involve NTC students, employees, data and/or college resources shall follow the following procedures.

Approval Procedure:

A form, (Institutional Review Board Research Request), needs to be submitted to the College Advancement Department before such activities can occur. The College Advancement Department will seek approval from the NTC President, the Vice President of College Advancement, and the ELT member(s) overseeing the area being researched. NTC has the discretion to determine if and when it will be able to fulfill the request, based on criteria such as, but not limited to:

1. Benefit to NTC and relevancy to NTC vision, mission, core beliefs, and strategic directions
2. Whether the individual's educational program is being supported by the NTC Tuition Reimbursement program
3. NTC personnel and resources required
4. Current workload within the campuses, divisions, or departments that will be involved in the study
5. Purpose of the requestor's study or report
6. Other requests and demands placed on research subjects

If the research includes a survey or interview, requestor must submit a copy of the proposed questions for approval by NTC.

If the research request is originating from a researcher *internal* to the college (employee), the employee should work with his or her supervisor and ELT representative **prior** to submitting the request form.

A decision of approval or denial will be returned to the requestor within 10 business days.

External Requests:

If the research request is originating from a researcher *external* to the College (non-student, non-employee), the request may require more than 10 business days to provide a decision.



Potential Institutional Review Board Review Outcomes

For proposals reviewed by the IRB, a letter will be sent to the investigator by the College President (IRB chair) and Dean of College Advancement/Special Projects, indicating one of four possible outcomes:

1. **Approved:** A protocol that has been approved by the IRB requires no further action from the investigator prior to initiating the study. If the study should extend beyond twelve months, the investigator should send a letter to the IRB chair and Dean of College Advancement/Special Projects, informing them of the current status of the project, any changes in the protocol, and whether any adverse events have occurred.
2. **Approved if Designated Changes are Made:** A protocol that has been approved by the IRB on the condition that designated changes are made by the investigator and given to the IRB prior to initiating the study. If the study should extend beyond twelve months, the investigator should send a letter to the IRB chair and Dean of College Advancement/Special Projects, informing them of the current status of the project, any changes in the protocol, and whether any adverse events have occurred.
3. **Revise and Resubmit:** A protocol that has been deferred by the IRB usually requires that additional information be submitted to the IRB prior to approval. The additional information should be submitted to the Dean of College Advancement/Special Projects clarifying the issues involved or providing the requested documentation. The IRB will review the revised application material.
4. **Denial:** A protocol that has been denied approval by the IRB cannot be initiated by the investigator. The reasons for the denial are provided in writing. If the proposal is not approved, the research cannot be conducted. The researcher is welcome to appeal the decision.

Appeals:

In the event that an application is denied because the Institutional Review Board feels the risks outweigh the benefits of the research, and the investigator disagrees with the committee's disapproval decision, the researcher may appeal the decision by re-submitting the same application form and: 1) a letter of appeal presenting the researcher's arguments for approval; and 2) any other pertinent information in support of the appeal. The letter should be directed to the Dean of College Advancement/Special Projects.

Applications submitted for appeal will be considered by the IRB committee within 10 business days. If the proposal is not approved, the research cannot be conducted.

Approved Research

Post-Approval Details:

If information is requested from NTC, the College will de-identify students, faculty, and staff prior to releasing information to the requestor.



If the research is being conducted as part of a post-secondary educational project (thesis, dissertation), the requestor must provide a copy of the higher education institution's IRB approval **prior** to the release of NTC data or conducting of any qualitative research.

All costs associated with the research beyond normal NTC business will be incurred by the requestor (ex. Cost of surveys not normally conducted by the College, cost of software not already in use by the College).

The requestor may not name Northcentral Technical College or its students, faculty, or staff specifically in its findings without prior written approval from the College. The requestor must keep individual responses and information confidential. The requestor must make every effort to prevent anyone outside of the project from connecting individual subjects with their responses.

Approval of a human subject research proposal is good for one year.

If the project will continue beyond the approval period of one year, principal investigators are required to resubmit documents for review prior to the expiration date of the initial approval. These documents should include a status report of the project to date including:

1. The number of subjects accrued.
2. Summary of adverse events and any unanticipated problems involving risks to subjects or others and withdrawal of subjects from the research or complaints about the research since the last review.
3. Summary of any relevant amendments or modifications to the research since the last review.
4. Any changes in the procedures of collecting data from human subjects must be re-reviewed and approved by the IRB.
5. Other relevant information, especially information about risks associated with the research.
6. Copy of the current informed consent document and any newly proposed consent document.

Notification of Adverse Events:

In the initial approval letter, principal investigators are asked to promptly report any unanticipated problems or adverse effects of the research to the Institutional Review Board. The IRB must be notified if adverse events occur and what actions the investigator has taken to respond.

Research Completion



Upon research completion, the researcher must provide NTC with a copy of the results and a copy of the final document (hard copy or electronic copy), within 90 days of the completion date.

Additional Information

Electronic Code of Federal Regulations https://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&SID=83cd09e1c0f5c6937cd9d7513160fc3f&pitd=20180719&n=pt45.1.46&r=PART&ty=HTML#se45.1.46_1501

Office for Human Research Protections <https://www.hhs.gov/ohrp/>

Office of Research Integrity, U.S. Dept. of Health and Human Services
<http://ori.dhhs.gov/international/websites/index.shtml>

Protection of Human Subjects, Federal Guidelines
<http://www.hhs.gov/ohrp/humansubjects/guidance/45cfr46.htm>

The Belmont Report
<http://www.hhs.gov/ohrp/humansubjects/guidance/belmont.htm>

United States-Department of Health & Human Services – Office for Human Research Protections
<https://ohrp.cit.nih.gov/search/irbsearch.aspx?styp=adv>