Bank Street
Graduate School of Education

Bank Street College of Education
Institutional Research and Review Board

MISSION

The mission of Bank Street College of Education is to improve the education of children and their teachers by applying to the educational process all available knowledge about learning and growth, and by connecting teaching and learning meaningfully to the outside world. In so doing, we seek to strengthen not only individuals, but the community as well, including family, school, and the larger society in which adults and children, in all their diversity, interact and learn. We see in education the opportunity to build a better society.

THE INSTITUTIONAL RESEARCH REVIEW BOARD

The Bank Street College Institutional Research Review Board (IRRB) was created in response to federal regulations that require the presence of such a Board at any institution that conducts research involving human participants and that receives federal support for *any* of its programs. Some private foundations require IRRB review of funded research projects, as well. The Board is charged with implementing the procedures that the College has adopted, which are consonant with Federal guidelines for research involving human participants.

Bank Street's primary concern in establishing the Board is to ensure that human participants involved in research projects at the College are protected from harm. Research is expected to *be of service, to do no harm* and to protect the participants and community from foreseeable risks in settings in which data are collected. Researchers are to conduct themselves in a professional manner and are not to exploit their participants.

The Bank Street IRRB is comprised of a member from Innovation, Policy and Research (IPR) as well as faculty members who are representative of the academic departments within the Graduate School of Education. Meetings are scheduled on a quarterly basis or as needed.

CURRENT MEMBERS OF THE IRRB

- Carolina E. González, PhD, Chief of Staff to the President and Senior Research Associate, Chair, Institutional Research and Review Board
- Jessica Blum DeStefano, PhD | Leadership Department
- Nicole Limperopulos, EdD | Leadership Department
- Mark Nagasawa, PhD | Straus Center for Young Children and Families
- Elizabeth Silva Diaz, PhD | Teaching & Learning Department
- Rae Leeper, EdD | Teaching & Learning Department

Bank Street
Graduate School of Education

GENERAL POLICIES

Any research project that involves human participants conducted by Bank Street faculty, staff, or students must be reviewed and approved by the Bank Street IRRB before any data is collected. During the review process, the IRRB asks the following questions:

- Will the rights and welfare of participants be adequately protected?
- Will participants be placed at risk? If so, will any risks be outweighed by the benefits to the participant and the knowledge to be gained from the study?
- Will legally effective and ethically appropriate informed consent be secured from participants?
- Will the protocol meet all standards established by the federal government and College guidelines, including those pertaining to special populations such as minors?
- Is the research scientifically sound such that valid conclusions can be reached?

The above questions are written in the spirit of **45 CFR 46.111.**

GUIDELINES FOR IRRB REVIEW OF PROPOSED PROJECTS

The majority of research projects at Bank Street do NOT require a full review by the IRRB. The *Board* determines if a full review is required when a researcher submits an application.

An Expedited Review procedure consists of a review of research involving human participants by the IRRB chairperson or by one or more experienced reviewers designated by the chairperson from among members of the IRRB in accordance with the requirements set forth in §45 CFR 46.110.

- The reviewer(s) may exercise all of the authorities of the IRRB except that a research project may not be disapproved. A research project may be disapproved only after full review by the IRRB committee.

RESEARCH THAT INVOLVES THE FOLLOWING TYPES OF DATA GENERALLY DOES NOT REQUIRE A REVIEW:

- Information from a public data base where aggregated data cannot be associated with any particular individual or group of individuals
- Observations of behavior within a public gathering that cannot be associated with any particular individual or group of individuals
- Information that is already in the public domain (e.g., autobiographies, diaries, other published materials)

Bank Street
Graduate School of Education

A FULL REVIEW IS REQUIRED WHEN RESEARCH DATA INVOLVE ONE OR MORE OF THE FOLLOWING CHARACTERISTICS:

- Identifiable private information about an individual or a group of individuals
- Graphic, written, or recorded information derived from individually identifiable human participants
- A risk of harm to the participant(s), whether physical, mental, emotional, social, or political

PROCEDURES FOR SUBMISSION FOR FACULTY, STAFF, EXTERNAL RESEARCHERS AND CONTINUING EDUCATION STUDENTS

To enable IRRB to determine if a research project is subject to full Board review; **Faculty, Staff, External Researchers and Continuing Education Students** are required to complete the enclosed application. All applicants must complete section I. Applicants whose study include human participants must complete the entire application. IRRB will review the materials promptly. If it is determined that a full review is *not required*, no further action on the part of the researcher is necessary. If it is determined that a full review is *required*, the researcher may be asked to make changes in the project to conform to the IRRB guidelines. **Faculty, Staff, External Researchers and Continuing Education Students must submit completed applications directly to the Board Chairperson who will take the application to other members of the Board.**

CHANGES IN PLAN AFTER REVIEW BY IRRB

An applicant whose plans change after the IRRB has cleared his or her proposal must write to the Board. A memo describing changes from the approved project, particularly processes in which human participants will engage, along with any revised materials, such as new questionnaires, revised consent form, etc. should be attached to the memo. The Board Chair will examine the extent of the changes and, based on what is involved, determine whether the applicant will be expected to resubmit a new application. The decision will be sent to the applicant in writing.

In practice, minor changes such as deciding to modify a question or two in an interview guide or not administering a specific questionnaire will not require a second review. However, major changes that may have implications for debriefing, informed consent, high risk procedures, or special status participants will be examined closely, and, if the Chair believes they pose new ethical concerns, a new submission will be requested.

Bank Street
Graduate School of Education

GENERAL REQUIREMENTS FOR INFORMED CONSENT

Consent forms must include: (see **§46.116)**

- An explanation of the purposes of the research
- Expected duration of the participant's participation
- A description of the procedures to be followed
- A description of risks and any benefits to the participants
- A statement guaranteeing confidentiality
- A statement that participation is voluntary, and that refusal to participate will involve no penalty
- Acknowledgement that participants may terminate their participation in the project at any point with no penalty
- An explanation of whom to contact about the research project

When children are involved, informed consent in writing is required from others (e.g., parents, guardians), and provided they exhibit the cognitive and emotional capacity to do so, informed assent (written in developmentally appropriate terms explaining their involvement in research related activities) is required.

DEFINITIONS OF COMMONLY USED TERMS

Please note that "informed consent" is equivalent to "permission," and must be given by someone legally able to grant such consent (e.g., an adult participant, a parent or guardian), while "assent" is equivalent to "agreement," and can be given by any participant with the cognitive and emotional capacity to do so.

Principal Investigator
The person who leads the research project, and has overall responsibility for its conduct and outcomes.

Participant
Anyone who is a subject in a research study.

Informed Consent
A statement by each participant that indicates that his/her participation or the participation of minors, in the project is voluntary, not coerced, and that participants are aware of their right to refuse or withdraw consent without penalty.

Informed consent is required from each participant who is legally, mentally, and physically able to provide it. The researcher must provide information regarding the research study in a form that can be easily understood by persons with no professional background.

Bank Street
Graduate School of Education

Assent

"Assent" means a child's affirmative agreement to participate. In addition to parental permission, Federal regulations require in most instances that a child who is cognitively and emotionally capable to comprehend his/her participation in the research project be offered the opportunity to give consent. Mere failure to object should not, in absence of agreement, be construed as assent. When a written form is in use, it should contain a simple explanation of the research project, including benefits, risks, and safeguards. A copy of the assent form should be submitted with the full application form.

Confidentiality

The extent to which private, personal data can be accessed by anyone other than the researchers

Benefits

Gains incurred by any stakeholder as the result of a research project

Risks

Circumstances that put participants in a research study in danger of some kind of harm

Privacy

Ensuring that confidential information is not accessible to anyone other than the researchers

Debriefing

Post-research explanations of the projects that ensure that participants fully understand what has occurred in the course of the project, including ensuring that any negative outcomes are identified and worked through.

Secondary Data Sources

Data previously compiled by others that is used by the researchers.

Bank Street
Graduate School of Education

Institutional Research and Review Board Response Form

Name of Reviewer:_____ **Date:** _____

IRRB: _____

Project Title: _____

☐ **Accept without conditions**

☐ **Accept with conditions listed below**

☐ **Convene IRRB for further discussion**

Comments:

Bank Street
Graduate School of Education

Appendix A

Sample Consent Form

Consent Form: [Study Title]

I am conducting research on [topic/title of study]. **I am investigating this because** [purpose]. If you decide to do this, *(you)/(your child)***will be asked to** [Describe ways in which human subjects will be involved, including length of time (e.g.: two hours over a three week period)].

[If participation involves any discomfort or risk, describe in lay language.

[Describe procedures for anonymity/confidentiality in lay language.]

If *(you take)/(your child takes)* **part in this project** [Describe benefits to subjects or others in lay language]. **Taking part in this project is entirely up to you, and no one will hold it against** *(you)/(your child)* **if you decide not to do it. If** *(you do)/(your child does)* **take part,** *(you)/(he or she)* **may stop at any time without penalty. In addition, you may ask to have your data withdrawn from the study after the research has been conducted.**

If you want to know more about this research project, please contact me at [phone # & email address, include adviser's name, phone number, and email address if appropriate]. **This project has been approved by the Institutional Research Review Board at Bank Street College of Education** [and the specific site(s) if appropriate]. Information on Bank Street College policy and procedure for research involving human participants can be found on the college website at: https://www.bankstreet.edu/graduate-school/academics/institutional-research-review-board/. Additional questions or concerns you have about the way the research is being conducted should be addressed to the Co-Chair of the Institutional Research Review Board, Dr. Cecelia Traugh and Dr. Margaret McNamara at ResearchReview@bankstreet.edu

You will be given a copy of this consent form. Any materials (e.g., writings, audio and/or video recordings, etc.) used to document your participation in this study will be kept for up seven years in a locked cabinet within a locked office, and in the instances of electronically stored materials, in a password protected file on a password protected device.

Sincerely,

[Name, title]

Bank Street
Graduate School of Education

Appendix B

Assent Form Guide

The following is intended to be a guide for developing an assent form. Shaded areas indicate instances in which developmentally appropriate details specific to your study should be included.

Assent Form: [Study Title]

What is a research study?

Research studies help us learn new things. We can test new ideas. First, we ask a question. Then we try to find the answer.

This paper talks about our research and the choice that you have to take part in it. We want you to ask us any questions that you have. You can ask questions any time.

Important things to know…

- You get to decide if you want to take part.
- You can say 'No' or you can say 'Yes'.
- No one will be upset if you say 'No'.
- If you say 'Yes', you can always say 'No' later.
- You can say 'No' at anytime.
- We would still take good care of you no matter what you decide.

Why are we doing this research?

We are doing this research to find out more about …In a sentence or two describe the purpose of your study in age appropriate terms.

What would happen if I join this research?

Include only the appropriate list items from below. If necessary, create new list items in age appropriate terms. Only list procedures/items for which assent is required.

If you decide to be in the research, we would ask you to do the following:

- Questions: We would ask you to read questions on a piece of paper. Then you would mark your answers on the paper.
- Talking: A person on the research team would ask you questions. Then you would say your answers out loud.
- Educational records: We will look at your past school performance and/or talk with your teacher about how you learn.

Could bad things happen if I join this research?

Some of the activities you participate in or the questions we ask might be hard to answer. We will try to make sure that no bad things happen.

You can say 'no' to what we ask you to do for the research at any time and we will stop

Bank Street
Graduate School of Education

Could the research help me?

Include most appropriate statement for your study:

We think being in this research may help you because_____.

OR

This research will not help you. We do hope to learn something from this research though. And someday we hope it will help other kids like you.

What else should I know about this research?

If you don't want to be in the study, you don't have to be.

It is also OK to say yes and change your mind later. You can stop being in the research at any time. If you want to stop, please tell the researchers.

Include most appropriate statement for your study:

You will not be paid to be in the study.

OR

To thank you for being in the study, we would give you_____. You should talk with your parents/guardian about how you would like to use this.

You can ask questions any time. You can talk to List research team member name. Ask us any questions you have. Take the time you need to make your choice.

Is there anything else?

If you want to be in the research after we talk, please write your name below. We will write our name too. This shows we talked about the research and that you want to take part.

Name of Participant _____
(To be written by child/adolescent)

Printed Name of Researcher ***Signature of Researcher***

_____ _____

_____
Date

Bank Street
Graduate School of Education

Appendix C

Bank Street College of Education Institutional Research and Review Board Application Form

FOR USE BY FACULTY, STAFF, EXTERNAL RESEARCHERS AND CONTINUING EDUCATION STUDENTS

Section I must be filled out by everyone who proposes to engage in a research project. Section II must be filled out by anyone whose research includes human participants.

Please read "Definition of Commonly Used Terms" on page 4 of the enclosed guidelines before attempting to fill out this application.

SECTION I

Project Title: _____ Start Date: _____ End Date: _____

Primary Investigator Information

Name: _____

E-mail address:_____

Phone: (w)_____(h) _____

Address:_____Zip: _____

Please check one: Faculty
Student Other Staff
External Researchers Continuing
Education Students

e. ___ I have completed training on conducting research with human participants and the documentation of this training is attached.

If you have not completed training, a training is available through Citi Support subject training https://about.citiprogram.org/en/courses/?filter=all. The cost of the training for Bank Street faculty and graduate students are paid for by the college.

Bank Street
Graduate School of Education

1. Is this research part of a course/program requirement? _____ Yes _____ No

   If **yes**, please indicate the course name, number and the academic program. _____

   Name of your institution: _____

2. Is this research funded by an external sponsor?_____ Yes _____ No _____ Pending
   If you are waiting for funding approval to develop instruments and consent forms, please check here. ☐

3. Provide a one-page summary of the goals and design of your research, as well as the planned use of human participants. **Please do not simply refer to your proposal in response to this question.**

4. Outline possible benefits the proposed study may provide to individual participants, social groups, or society. If there are no direct benefits to the participants as individuals, please state this explicitly.

5. Does the study involve secondary data analysis? _____ Yes _____ No
   If **yes**, attach separate document with a brief description of each data set and indicate from which databank(s) or sources the data will be (has been) obtained. For each data set, please include the following information:
   a. Can the names or identities of subjects in the data set be deduced from the data fields?
   b. Is the data set available to the general public, without restriction, or is access restricted in some manner? If access is restricted, attach a copy of the licensing agreement you signed with the distributor, as well as a copy of your data security plan.
   c. Are you planning to merge geographic, company, census, community, or other potentially identifying data into an individual-level data set during the course of the project? If so, attach a description of how you plan to protect the data from unauthorized use.
   d. Will anyone other than you have access to any restricted access databases(s)? If so, provide their names, and ensure that they have completed the required education in the use of human subjects. Certification can be attained through completion of the Citi Support subject training (https://about.citiprogram.org/en/courses/?filter=all). Documentation of completion must be submitted by all personnel. Submit copies of affidavits, non-disclosure agreements, or similar documents they were required to sign with the distributor.

If your study involves secondary data analyses ONLY, and not the participation of human subjects, you may sign here and return the application to the IRRB.

Principal Investigator _____

Date _____

Signature

For all other studies, please fill out the remaining questions.

Bank Street
Graduate School of Education

SECTION II

Please answer the questions in this section thoroughly and completely.

1. How many participants do you plan to recruit for the entire study?____

   Is the expected age range of the participants in your study under 18 years of age? ☐ Yes ☐ No

2. Will your sample include Bank Street students from the:

   Graduate School _____ Yes _____ No

   School for Children _____ Yes _____ No

   Continuing Education _____ Yes _____ No

   a. If **yes**, do you plan to recruit participants from classes that you personally teach?

   _____ Yes _____ No

   If **yes**, please provide a justification for the collection of data from your own students, and describe measures to be taken to make certain students understand participation in your study is not obligatory.

3. Explain how you plan to recruit your participants. Specify the exact wording of the requests, notices, or advertisements recruiting participants. **Attach draft advertisements, flyers, and/or text to be used in emails and letters** informing the public about your project.

   Do you plan to use email or the Internet to recruit your participants?_____ Yes _____ No

   If **yes**, you should be aware that email or Internet transmissions are neither private nor secure. Please include a sentence in your consent form that alerts participants that there is a chance their responses could be read by a third party.

4. Duration of the participants' engagement, through each component of the study and in total. Please provide timeline with full information regarding the type of activity and duration of involvement for each component of the study, if applicable.

5. Check any/all of the following procedures that apply to your study. If you check any, explain in detail, on a separate sheet, each procedure you propose to use, and provide the ethical and scientific justification for employing the procedure.

   Punishment
   Use of drugs
   Covert observation
   Induction of mental/and or physical stress
   Procedures that risk physical harm to the subject
   Materials commonly regarded as socially unacceptable
   Procedures that might be regarded as invasive
   Procedures that fail to ensure confidentiality

___

Deception

Please note. Reliance on deceptive methods is strongly discouraged and, the IRRB committee will require the PI to provide further development of the research design to promote transparency of research methods and intentions with participants. Should it be deemed that deceptive methods are unavoidable, a rationale must be provided, along with a description of safeguards, including debriefing, to be implemented to inform and protect study participants. The researcher will:

- Describe when and how the participants will be debriefed.
- Discuss the nature of the deception and provide rationale for the necessity of deception in this study.
- Provide a **debriefing form/script** to be used with participants.

Study participants must be informed the study utilized deceptive methods immediately following their participation.

6. Will any data be gathered using photographic, video, or sound-recording devices?

☐ Yes ☐ No

a. If yes, how will you protect the confidentiality of the material produced with such devices?

b. What will be done with the photos, video, or audio recordings after the study has been collected? Will this information be destroyed? If not, for how many years will it be kept? Will it be used in publications? Include this information on the consent form as well.

Please note. It is customary to keep materials used to document participation in a study for up to seven years. Materials should be secured in a locked cabinet within a locked office, and in instances of electronically stored materials, in a password protected file on a password protected device.

7. Will you or your staff know the names of any participants (through the use of signed consent forms, for example)? ☐ Yes ☐ No

If **yes**, answer questions *a-d* below.

a. Where will the names be recorded (e.g., on test protocols, on a separate list with code numbers, in a computer file, etc.)?

b. For what purpose(s) will names be recorded?

c. Will access to names be under your exclusive control?____Yes_____No
If **no**, what will be done to protect the confidentiality of participants?

d. Will names of participants be included in any publication based on this study? ☐ Yes ☐ No .

If **yes**, for what reason(s)?

8. Sometimes research findings are presented in a manner that permits knowledgeable readers to infer the identity of a person participating in a study, even if names are omitted. Do you expect to present findings that may possibly provide such clues?

   _____ Yes _____ No

   If **yes**, please describe measures to be taken to protect the identity of the participant.

9. Will information be obtained pertaining to persons other than immediate participants (e.g., their friends)?

   ☐ Yes ☐ No

   If **yes**, how will confidentiality of such persons be protected?

10. ☐ Do you plan to obtain written assent? ☒ Yes ☐ No

    If **yes**, refer to *Required Components of Informed Consent Documents* of the attached guidelines, and attach a copy of the assent form.

    If **no**, please answer questions a-c below.

    a. Why do you not intend to use such forms?

    b. In what manner and to what extent will you give potential participants advance information about the study procedures? If using a contact letter, please attach it.

    c. In what manner will potential participants be advised that their participation and continuation in the project is entirely voluntary? Please provide a copy of the text to be used. If proposing to use oral assent, provide a copy (script) of the text that you will use.

11. Has this study been reviewed (or will it be reviewed) by another institution's Institutional Research Review Board? ☐ Yes ☐ No

    If already reviewed, attach a copy of the approval/deferral notification you received from the IRRB.

    If this study will be or has been submitted to another IRRB, please indicate the institution:

Principal Investigator Signature _____

Date_____

Bank Street
Graduate School of Education

IRRB Checklist

Please submit all materials that are relevant to your IRRB review. Please check off items on this list and enclose the list with your application.

- ☐ The fully completed application form _____ Included _____ N/A

- ☐ A single page (single-spaced) description of your proposed research that outlines the methods you are using _____ Included _____ N/A

- ☐ Recruitment materials _____ Included _____ N/A

- ☐ Restricted access dataset agreements _____ Included _____ N/A

- ☐ Your proposed consent/assent forms _____ Included _____ N/A

- ☐ Copies of research and stimulus materials you plan to use (questionnaires, research instruments, interview guides, etc.) ☐ _____ Included _____ N/A

- ☐ Post-participation debriefing statement _____ Included _____ N/A

- ☐ Proposal submitted to funder OR Independent Study or Portfolio Proposal _____ Included _____ N/A

- ☐ Confirmation non-Bank Street IRB review/approval _____ Included _____ N/A

- ☐ Foreign country collaboration documentation _____ Included _____ N/A