

Submitting a Human Subjects Application through the College of Education

You may not approach research subjects until you have received written notification of approval from the UW's Human Subjects Division. This applies even to "exempt" applications.

SIGNATURES ON IRB APPLICATIONS: As of December 2011, signatures on the IRB application may be provided in any format deemed appropriate by the signer, including digital, electronic, stamped, delegated, or original ink. See www.washington.edu/research/hsd/docs/931 for signature policy.

Lead Researcher. Principal Investigator, whether student, staff or faculty member, must sign.

Faculty Sponsor. Student investigators must have form signed by the faculty sponsor. This may **not** be the same person who signs as Chair, Dean or Director.

Chair, Dean or Director. As of October 2012, authorized signers for the College of Education are Robert Abbott, Carol Davis, Elham Kazemi, Deborah McCutchen, and Tom Stritikus.

A. Determine type of review.

Determine (with your advisor, if you are a student) whether your research is **exempt** or requires **minimal risk** or **full IRB** review. (See www.washington.edu/research/hsd/topics/Apply+for+Review)

B. Complete application and other necessary materials.

For Exemptions:

1. Complete the **Exempt Status Request** (at www.washington.edu/research/hsd/docs/1207). Sign under Section 2, Assurances and Signatures. Student investigators must sign twice—as LEAD RESEARCHER and as LEAD RESEARCHER who is a STUDENT—and they must have their FACULTY SPONSOR sign. Do not get a signature for the DEPARTMENT CHAIR; it will be signed later. (See above for signature policies.)
2. Attach all data instruments.
3. Make **two copies** of the application and data instruments. (If you submit double-sided copies, each item—application, consent form, data instruments, etc.—must begin on the front page of a new sheet.)
4. Submit the form and copies to Louise Clauss, 115J Miller Hall.

For Minimal Risk or Full IRB Review:

1. Complete the entire application **Form UW 13-11** (at www.washington.edu/research/hsd/docs/3) and sign on line IV.A; student investigators should have faculty sponsor sign on line IV.B. Do not sign on line IV.C; it will be signed later. (See signature policies, above.)
2. Attach all necessary additional materials (sample consent form, sample letter of contact, letter of cooperation, data collection instruments, etc.).
3. If applicable, attach **one copy** of grant, contract, or dissertation proposal.
4. If you submit double-sided copies, each item—application, consent form, questionnaires, etc.—must begin on the front page of a new sheet.
5. **Minimal Risk:** Check “minimal risk” box on application face page. Make **two copies** of forms and additional materials (except proposal).
6. **Full IRB Review:** Make **three copies** of forms and additional materials (except proposal). Submit everything to Louise Clauss, 115J Miller Hall.

C. Submit application for College of Education review.

For Exemptions, Minimal Risk or Full IRB Review:

1. Louise will screen application materials for completeness and ask investigator to provide missing information.
2. When application is complete, she will get a signature from one of the authorized College of Education faculty members.

D. Submit application to Human Subjects Division.

All applications—Exempt, Minimal Risk, or Full IRB Review—are sent to Human Subjects Division, which is the only UW office authorized to grant approval.

For Exemptions:

1. The Exempt Status Request is forwarded to HSD and logged in to their database.
2. A HSD representative will read the information entered on the exemption form. If there are questions, these will be sent directly to the investigator.
3. If there are no questions, or once the questions have been satisfactorily addressed, HSD approves the exemption, assigns an approval number, and notifies the investigator in writing.
4. It is possible that the HSD representative will determine that the study does not qualify for exemption, and an application must be submitted for Minimal Risk or Full IRB Review.

For Minimal Risk:

1. The completed Form UW 13-11 and accompanying materials are forwarded to HSD and logged in to their database.
2. The Minimal Risk Administrator will review the application materials. If there are questions, these will be sent directly to the investigator.
3. If there are no questions, or once the questions have been satisfactorily addressed, HSD approves the application, assigns an approval number, and notifies the investigator in writing.
4. It is possible that the administrator may determine that the research involves more than minimal risk, and must be reviewed by the full IRB committee.

For Full IRB Review:

1. The completed Form UW 13-11 and accompanying materials are forwarded to HSD and logged in to their database.
2. The application will be assigned to one of the Behavioral Committees for review. If there are questions, these will be sent directly to the investigator.
3. If there are no questions, or once the questions have been satisfactorily addressed, HSD approves the application, assigns an approval number, and notifies the investigator in writing.

Exemption approvals are valid for five years and may not be modified or renewed. Minimal risk and Full IRB approvals are valid for one year, after which a Status Report must be submitted to HSD. A Modification Form is used for making changes to the study.

SEE BELOW FOR HELPFUL WEBSITES:

Human Subjects Division Website: www.washington.edu/research/hsd/
For Form UW 13-11, Exempt Status Request, and all other forms, click on FORMS from menu, or
go to www.washington.edu/research/hsd/forms/
See also: Questions and Answers: www.washington.edu/research/hsd/qa/#general
College of Education Human Subjects Website:
<http://education.washington.edu/intranet/hsubjects/index.html>

After you have reviewed these instructions, if you have any questions about the College of Education's procedures for submitting a human subjects application, please contact Louise Clauss at 616-8291 or lclauss@uw.edu.