Doctoral Form D-7A

DISSERTATION PROPOSAL HUMAN SUBJECTS REVIEW APPROVAL

_____	_____
Student's Name	**Social Security Number**
_____	_____
Local Telephone #	**E-Mail Address**

Concentration: _____

Proposed Dissertation Title: _____

_____

Statement 1. The research proposed in this dissertation proposal will not involve the use of human subjects; therefore, review by the Human Subjects Review Committee is unnecessary.

Signed: _____
Chairperson of Dissertation Committee

Statement 2. The research proposed in this dissertation proposal involves a substantially large sample and the data will only be reported in aggregate, making individual subject identification highly improbable. Subjects will be informed of their rights in accordance with University guidelines as outlined in the memorandum on surveys but written consent will not be required.

Signed: _____
Chairperson of Dissertation Committee

Signed: _____
for the School of Education Human Subjects Review Committee

Statement 3. This is to certify that this proposal was reviewed by the School of Education Human Subjects Review Committee on _____ (date) and was determined as meeting University guidelines for the use of human subjects in dissertation research.

Signed: _____
for the School of Education Human Subjects Review Committee

MEMORANDUM

From: The Human Subjects Review Committee

To: School of Education Doctoral Students and Other Researchers

Subject: Doctoral Form D7A, Human Subjects Review and Informed Written Consent Form

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Among the notions central to research with humans are the following three:

1. Participation in research is voluntary;

2. Voluntary participation is based on being informed; and

3. The researcher must guard against making participants vulnerable.

Federal guidelines and University of Massachusetts policy indicate that in order to act consistently with the above notions, in most cases when researchers wish to do research using human participants, the researcher must seek the informed written consent of the participants.

Unless the Chair of your committee signs Form D7A saying that you are not working with human participants, in most cases you must develop an informed consent form which meets the following guidelines. *The Human Subjects Review Committee will review your consent form with these guidelines in mind.

The Written Consent Form:

1. 1. Indicates:
   a. Who the researcher is;
   b. What the researcher proposes to do; and
   c. For what purpose.

2. Informs the participants of any risks they may be taking by participating.

3. 2. Informs the participants of their rights:
   a. Their right to withdraw from part or all of the study at any time; and
   b. Indicates position on the right to review material.

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* These guidelines are taken from Chapter 6 of *Interviewing as Qualitative Research*, by Seidman, I.E., (1991) New York: Teachers College Press.

4. Informs the participants about how names will be used:
    a. Clear on whether the researcher will seek to protect the participants' identity or not; and
    b. Clear on pseudonyms or other steps taken to protect identity.

5. Informs participants on:
    a. How results will be disseminated; and
    b. Is reasonable on projected benefits.

6. Indicates that participants are free to participate or not without prejudice.

7. Provides for consent to appropriate adults in the case of children.

8. Deals with other issues of concern specific to the research project.

These guidelines should assist you in developing a written consent form. To further assist you, an example of a written consent form and a memo concerning what might be appropriate for questionnaire and survey studies are included. Use the above guidelines and the examples to guide you in developing a written consent form appropriate to your research project.

If you wish further guidance, doctoral students may consult with the Human Subjects Review Coordinators.

MEMORANDUM

From: The Human Subjects Review Coordinators

To: Doctoral Students Doing Survey or Questionnaire Studies

Subject: Appropriate Informed Consent

When do you need to get individual written consent of your participants when you are collecting data by means of a questionnaire or a survey?

If you are doing research in which a survey instrument or questionnaire is a means of your obtaining data and the questionnaire depends on your participants' written response in their own words, then individual written consent from the participant is most likely necessary. The guidelines for your written consent form are described in our preceding memo.

If your survey instrument or questionnaire solicits information that is controversial or sensitive and could in any way make your participant vulnerable, you should secure individual written consent.

If your questionnaire or survey asks for identifying information about your participants, such as name, address, telephone number, place of work or study, or other information that could lead to the identification of your participants, then you should solicit individual written consent.

If your sample is small and because of that small size your participants are potentially identifiable, you should secure individual written consent.

If any one of the above conditions apply to your research approach, you must secure the individual written consent of your potential participants.

When do you not need to get individual written consent of your participants when you are collecting data by means of a questionnaire or a survey?

If you are doing research in which a survey instrument or questionnaire is a means of obtaining data, you may not have to solicit individual written consent from your participants if all the following characteristics describe your questionnaire or survey:

- The survey is a true/false, multiple choice, or fill in the blank type of survey. It does not rely on the language of the participants.

Appropriate Informed Consent, continued

- The participant's responses to the survey would not make him or her vulnerable in any way. No risk is involved in the participants' completing and submitting the survey or questionnaire.

- The results of the survey are to be reported in the aggregate and not by individual. Individual participants in the study would not be identifiable.

If all the above conditions describe your research, you do not have to secure individual written consent. If any one of these conditions does not apply, then you most likely have to secure individual written consent from each participant.

If you are surveying students or teachers in a school or a system or other members of an organization or institution, you may have to secure the consent of the appropriate officer or administrator of that organization in order to conduct the survey.

Even if you do not need to get individual written consent of your participants, you will still have an ethical obligation to inform your participants about the following:

- Who you are and how you can be contacted;
- The nature of your research;
- What rights your participants have, for example, to withdraw from part or all of the study at any time, or to review the results;
- That you will not use their names in the study;
- That participation in the study is voluntary and their decision to participate or not to participate will in no way be prejudicial to them; and finally
- Children below the age of 18 must have the consent of their legal guardians to participate.

The way to inform your participants about these conditions is to address them in an introductory paragraph to your questionnaire or survey instrument or in a cover letter. The final sentence of the introductory paragraph or cover letter should be something like: "Your informed consent to participate in the study under the conditions described is assumed by your completing the questionnaire and submitting it to the researcher. Do not complete the questionnaire or hand it in if you do not understand or agree to these conditions."

When you submit Form D7A, include a copy of your introductory paragraph or cover letter.

If you have questions about whether your survey or questionnaire requires anything beyond the introductory paragraph we are suggesting above, please contact your dissertation chairperson or a member of the Human Subjects Committee.

SAMPLE INFORMED CONSENT LETTER

STUDY OF THE UNIVERSITY OF MASSACHUSETTS AMHERST
FACULTY'S KNOWLEDGE OF DISABILITIES,
EXPERIENCE WITH EDUCATING STUDENTS WITH DISABILITIES,
AND ATTITUDES THAT FACULTY POSSESS TOWARDS
STUDENTS WITH DISABILITIES

CONSENT FOR VOLUNTARY PARTICIPATION

I volunteer to participate in this qualitative study and understand that:

1. I will be interviewed by [interviewer's name] using a guided interview format consisting of seven questions.

2. The questions I will be answering address my views on issues related to disability awareness training for faculty of my college or school at the University of Massachusetts Amherst. I understand that the primary purpose of this research is to identify activities that will effectively increase faculty awareness of disability.

3. The interview will be tape recorded to facilitate analysis of the data.

4. My name will not be used, nor will I be identified personally in any way or at any time. I understand it will be necessary to identify participants in the dissertation by position and college affiliation (e.g., a Department Head from the College of Engineering said . . .).

5. I may withdraw from part or all of this study at any time.

6. I have the right to review material prior to the final oral exam or other publication.

7. I understand that results from this survey will be included in [your name] doctoral dissertation and may also be included in manuscripts submitted to professional journals for publication.

8. I am free to participate or not to participate without prejudice.

9. Because of the small number of participants, approximately twelve, I understand that there is some risk that I may be identified as a participant of this study.

_____ _____

Researcher's Signature Participant's Signature

_____ _____

Date Date

The Human Subjects Review Committee will review your Informed Consent Form using the following guidelines:

Human Subjects Review Committee
Review of Research Proposal Informed Consent Form

Name of Researcher: **Date:**

Title of Project:

Does the consent form accomplish the following:	**Yes**	**No**	**Partially**
1. Indicates: 1. What the research is; 2. What the researcher proposes to do; and 3. For what purpose.			
2. Informs the participants of any risks they may be taking.			
3. Inform the participants of their rights: 1. Their right to withdraw from part or all of the study at any time; and 2. Indicates position on the right to review material.			
4. Does it inform the participant about how names will be used: 1. Clear on issue of anonymity; and 2. Clear on pseudonyms or other steps taken to protect identity.			
5. Does it inform participants on: 1. How results will be disseminated; and 2. Is it reasonable on projected benefits.			

Does the consent form accomplish the following:	**Yes**	**No**	**Partially**
6. Does it indicate that participants are free to participate or not without prejudice?			
7. Does it provide for consent of appropriate adults in the case of children?			
8. Other issues or concerns (use back of page).			

Decision of Committee: (circle appropriate decision)

Accept Accept with Revision Revise

Comments: (use back of page as appropriate)

Signature of Member of the Committee: _____