APPLICATION FOR EDUCATION RESEARCH EXEMPTION

Note: Incomplete applications will be returned. Refer to HREB policies and guidance available on the web at www.newpaltz.edu/sponsored_programs/humansubs.html

This application should be used only for education research that meets the criteria at 45CFR46.101(b)(1):

Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (i) research on regular and special education instructional strategies, or (ii) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

In order to qualify for this exemption, the level of risk to participants may not exceed minimal risk (physical, psychological, social, undue stress and/or invasion of privacy.) Do not use this form if your research involves any activities other than education research.

In order to use this form, you must be able to check “YES” to the following statements:

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<th>1. The level of risk to which participants are exposed in this study does not exceed minimal risk.</th>
<th>Yes</th>
<th>No</th>
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<td>2. The research will be conducted in established or commonly accepted educational settings.</td>
<td>Yes</td>
<td>No</td>
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<td>3. The research is about normal educational practices, such as (i) research on regular and special education instructional strategies, or (ii) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.</td>
<td>Yes</td>
<td>No</td>
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<td>4. Prisoners will not be included as participants.</td>
<td>Yes</td>
<td>No</td>
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<td>5. Individuals who lack the capacity to provide informed consent (e.g., Alzheimer’s patients, individuals with certain mental disabilities) will not be included as participants.</td>
<td>Yes</td>
<td>No</td>
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Research studies that do NOT meet these criteria must be submitted using the Application for Research Proposal Review. This form can be found at http://www.newpaltz.edu/sponsored_programs/humansubs.html.

One copy and one signed original must be mailed to the HREB secretary at Human Research Ethics Board, c/o Office of Sponsored Programs, HAB 604. The signed original and one hard copy must include the signed cover sheets and all relevant materials, i.e., consent form(s), questionnaire(s), advertisements, etc. You MUST also submit an electronic copy to: hrebsecretary@newpaltz.edu. The electronic copy must include all of the relevant materials in ONE single file in either MS Word or PDF format. In addition, for all proposals, submit two paper copies of grant/contract proposals, if any.

After the HREB secretary receives the signed hard copies, the secretary will then forward the electronic proposal to the HREB Chair and one HREB member for review. The amount of time your review will take will depend upon the number of proposals to be reviewed. The HREB strives to review proposals within two weeks of receipt by members. Please be aware, however, that there are certain periods of the year, e.g., midterms, finals, and holidays, in which proposals cannot be reviewed within two weeks.

Please note, under F.E.R.P.A. Rules, there may be permissions of consent required if participants are:

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<th>1. Under 18 and you are using student records.</th>
<th>Yes</th>
<th>No</th>
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<tbody>
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<td></td>
<td>1. Under 18 and you are videotaping.</td>
<td>Yes</td>
<td>No</td>
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If you responded yes to either one of these or both of these, you need parental permissions.
Title of Study:

Date of Submission:

**Principal Investigator (PI)**

Name:

Specify:  □ Faculty/Staff  □ Graduate Student  □ Undergraduate Student

Local Mailing Address:

Department:  Division:  Phone:  email:

If PI is a Student (Please attach the Faculty Advisor Assurances Addendum)

Name of Faculty Sponsor:  Department:  Phone:  email:

To complete required CITI human subjects training program, go to www.miami.edu/citireg. This training must be completed prior to submission of application.

Principal Investigator:  CITI completed?  Yes □ No □

**Study Team:** List all individuals who assist the PI in the design or conduct of the study.  *Attach additional pages as needed.*

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<tr>
<th>Name:</th>
<th>Department:</th>
<th>CITI completed? Yes □ No □</th>
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<tr>
<td>Name:</td>
<td>Department:</td>
<td>CITI completed? Yes □ No □</td>
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<td>Name:</td>
<td>Department:</td>
<td>CITI completed? Yes □ No □</td>
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Funding Source(s) and Application Deadline(s) (if applicable):

Agency/Organization:  Application Date:

Is this project expected to continue for more than one year?  □ Yes □ No  Anticipated completion date
Statement of Assurance for Investigators

Principal Investigator(s) and Faculty Sponsor (if a student investigator) must sign the following Statement of Assurance.

The proposed investigation involves the use of human participants. I am (we are) submitting this form with a description of the project prepared in accordance with institutional policy for the protection of human participants participating in research.

I (We) understand the SUNY at New Paltz policy concerning research involving human participants and agree to:

1. Accept responsibility for the scientific conduct of this research;

2. Assure that all key personnel have completed the SUNY at New Paltz educational requirements for human participant research prior to assuming any duties;

3. Maintain research data under appropriately secure conditions in order to protect participant confidentiality, if applicable due to use of identifiers;

4. Report to the HREB any unanticipated effects on participants and which involve risks to participants or others and which become apparent during the course of the research or as a result of any actions taken;

5. Obtain prior approval from the HREB before amending or altering the scope of the project or implementing changes;

6. Comply with all HREB decisions, conditions and requirements.

Signature of Principal Investigator (PI)

Signature certifies that the information in this application is correct and that the research will be conducted in full compliance with SUNY New Paltz policies and federal regulations. Adverse events must be reported to the HREB according to the guidelines and changes in the study must be approved by the HREB prior to implementation.

I (We) believe that the proposed research qualifies for EXEMPTION from human research participant regulations under category 45CFR46.101(b)(1).

Printed Name of Investigator          Signature of Investigator          Date

Printed Name of Faculty Sponsor        Signature/Approval of Faculty Sponsor         Date
Category A: Brief Description of Proposed Research:

Question 1: State the purpose of your research.

Question 2: Describe the educational setting in which the research will take place.

Question 3: Describe the educational practice that will be compared or studied.

Question 4: If this involves a teaching component, would the content be taught even if the research was not done?
[ ] Yes [ ] No [ ] Not Applicable

If not applicable, skip to Question 6.

Question 5: Briefly describe teaching component, if applicable.

If you checked no above, describe, in detail, the experimental content below.

Category B: Description of Participants

Question 6: Describe the characteristics of the participants.

Question 7: Does this study involve specific recruitment of participants outside the United States? [ ] Yes [ ] No

If YES, you must complete the International Research Application Addendum and submit it with this form.

Question 8: State the approximate number of participants.

Question 9: Describe how you will recruit participants for the study. Include the recruitment script and all other relevant materials, e.g., advertisements, fliers, translations, etc.

Category C: Research Procedures

Question 10: Fully explain step by step, your research process.
   A. What is the plan;
   B. How it will be taught;
   C. Where it will take place.
Question 11: Describe the data you will collect (for example, interview, survey, observation, evaluations of writing samples, test scores) and how you will be collecting (for example, paper surveys, photocopies of student work, photos, on-line surveys, etc.). Attach copies of surveys, interview questions, grading rubrics, etc.

Question 12: Document authorization of use or permission to modify a copyrighted instrument, or document access in the public domain of non-copyrighted instruments.

**Category D: Confidentiality and Data Security**

Question 13: How will you store and safeguard the data? If assigning subject numbers how will they be assigned and tracked? Will personal identifiers be used? Yes □ No □

Question 14 Who will have access to the data?

**Category E: Risks to Participants**

Question 15 Describe potential risks and assess the likelihood, severity, duration and effects of each. (Consider risks of physical injury, psychological trauma or stress, social/economic harm, legal risks and loss of confidentiality. Would the risks be greater than those encountered in a participant’s everyday life? Note “no known risks” if none are anticipated.)

Submit an electronic copy of the complete application (in one file) to: hrebsecretary@newpaltz.edu and the signed application and one hard copy to: Human Research Ethics Board, c/o Office of Sponsored Programs, HAB 604.

PLEASE NOTE: Unless this study is conducted at SUNY New Paltz, you will be asked to provide a letter of permission or a letter of cooperation from the highest ranking administrator of the school district or educational setting. In a public school district this would be the Superintendent of the district. The letter should be on the institution’s letterhead or from the work e-mail address of this individual. It must clearly identify your project, the investigator and the administrator. The letter must be obtained AFTER receiving HREB approval.