APPLICATION FOR INTERVIEW/SURVEY 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 Interview/Survey research that meets the criteria at 45CFR46.101(b)(2):

Research involving the use of survey (e.g., Interview/Survey) procedures, unless: (i) information obtained is recorded in such a manner that human participants can be identified, (e.g., audio or video taping) directly or through identifiers linked to the participants; and (ii) any disclosure of the human participants’ responses outside the research could reasonably place the participants at risk of criminal or civil liability or be damaging to the participants’ financial standing, employability, or reputation.

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 Interviewing/Surveying.

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

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<th>Yes</th>
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<td>1.</td>
<td>The level of risk to which participants are exposed in this Interview/Survey does not exceed minimal risk.</td>
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<td>2.</td>
<td>There are no activities in this research other than the Interview/Survey.</td>
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<td>3.</td>
<td>This Interview/Survey will involve only persons 18 years of age and older.</td>
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<td>4.</td>
<td>The population to be Interviewed/Surveyed is not considered “vulnerable to coercion”.</td>
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<td>5.</td>
<td>Prisoners will not be Interviewed/Surveyed.</td>
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<td>6.</td>
<td>Individuals who lack the capacity to provide informed consent (e.g., Alzheimer’s patients, individuals with certain mental disabilities) will not be Interviewed/Surveyed.</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 signed hard copies are received by the HREB secretary, 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.

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 https://www.citiprogram.org/Default.asp? 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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<th>Name</th>
<th>Department</th>
<th>CITI completed?</th>
<th>Yes □ No □</th>
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<td>Name</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 administration of the Interview/Survey 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)(2).

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

Question 1: State the purpose of your Interview/Survey research.

Category B: Description of Participants

Question 2: Describe the characteristics of the participants.

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 3: State the approximate number of participants.

Question 4: Describe how you will recruit participants for the study. Include the recruitment script and all other relevant materials, e.g., advertisements, fliers, translations, etc. Researchers using the Psychology Pool need to provide the description of the study given for electronic participant sign-up and the departmental authorization to use the Psychology Pool.

Category C: Procedures

Question 5:

(a) Describe the methods of Interview/Survey administration in detail (Attach a complete copy of the Interview/Survey protocol along with any instructions the participants will be told or will read).

(b) If you are conducting multiple measurements (e.g., 2 or more Interviews/Surveys with the same person), how will you link the data belonging to particular participants?

(c) How will you record and use the data? If assigning subject numbers how will they be assigned and tracked? Will your data be recorded with individual identifiers?

(d) Document authorization of use or permission to modify a copyrighted instrument, or document access in the public domain of non-copyrighted instruments (if applicable).
Category D: Risks to Participants

Question 6: 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. Could any of the questions be more offensive than those encountered in a participant’s everyday life? Note “no known risks” if none are anticipated.)

Category E: Privacy and Confidentiality Procedures

Question 7: Describe the method(s) used to protect the identity of individual participants.

Submit the signed application and one hard copy to: Human Research Ethics Research, c/o Office of Sponsored Programs, HAB 604 and electronic copies to: hrebsecretary@newpaltz.edu.