**Survey/Interview Research Exempt Form**

**Instructions: Complete Research Protocol**

* Depending on the nature of what you are doing, some sections may not be applicable to your research. If so, you must provide the reason the section is not applicable for the response. For example, under the Grant Applicability section, many would answer, “This protocol is not funded by a grant or contract.”
* When you write a protocol, keep an electronic copy. You will need to modify this copy when making changes.
* Do not remove the italics instructions or headings.
* If you are pasting information from other documents, be sure to use the “Merge Formatting” paste option so that the formatting of the response boxes is not lost. If information is presented outside of the response boxes, it will not be accepted.
* If this study involves multiple participant groups who participate in different research procedures, consent processes, etc., be certain to provide information in each applicable section for each participant group and clearly label each participant group within a section or subsection.

**Exemption 104 (d)(2): Survey/Interview Research**

This application should be used only for Interview/Survey research that meets the criteria at 45 CFR 46.104 (d)(2):

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 manipulated variables and/or activities other than Interviewing/Surveying.

Basic Survey/Interview Determination Criteria (select one of the following):

|  |  |  |
| --- | --- | --- |
|  | 1. | Recorded information cannot readily identify the subject (directly or indirectly/linked); OR |
|  | 2. | Any disclosure of responses outside of the research would NOT reasonably place subject at risk (criminal, civil liability, financial, employability, educational advancement, reputation); OR |
|  | 3. | Information is recorded with identifiers, and there is a clear plan for how documents will be stored and protected. |

In order to use this form, you must be able to check “YES” to statements 1-7 and "YES" or "Not Applicable" to statements 8-9.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Yes** | **No** | **Not**  **Applicable** | **#** | **Statements** |
|  |  |  | 1. | The level of risk to which participants are exposed in this interview/survey does not exceed minimal risk. |
|  |  |  | 2. | There are no manipulated variables and/or activities in this research other than the interview/survey administration. |
|  |  |  | 3. | This interview/survey will be given to persons 18 years of age and older. |
|  |  |  | 4. | The population to be interviewed/surveyed is not considered “vulnerable to coercion”. |
|  |  |  | 5. | Prisoners will not intentionally be interviewed/surveyed. |
|  |  |  | 6. | Individuals who lack the capacity to provide informed consent (e.g., Alzheimer’s patients, individuals with certain mental disabilities) will not be interviewed/surveyed. |
|  |  |  | 7. | Confidentiality will be protected by proper secure storage of **interview** notes and electronic data – **Or –** paper **surveys** and electronic databases. |
|  |  |  | 8. | External site approval is needed. |
|  |  |  | 9. | Psychology subject pool approval is attached. |

**Full Protocol Title:**

Response:

**Principal Investigator:**

Response:

Name

Department

Telephone Number

Email Address

**Faculty Sponsor (for student projects):**

Response:

Name

Department

Telephone Number

Email Address

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# Objectives

* 1. Describe the purpose and specific aims for the research. If applicable, state specific hypotheses to be tested.

Response:

# Description of Participants and Recruitment Procedures

* 1. Describe the characteristics of the participants in the study. Include the source of the participants and the criteria that define who will be included or excluded in your final study sample.

Response:

* 1. If applicable, describe how individuals will be screened for eligibility.

Response:

* 1. Indicate whether you will include non-English speaking individuals. If yes, please provide translations for all materials (consent information, recruiting materials, surveys).

Response:

* 1. Indicate the total approximate number of participants.

Response:

* 1. Describe how the participants will be recruited. Describe when and where potential participants will be recruited.

Response:

* 1. Include materials that will be used to recruit participants. (Attach copies of these documents with the application. For advertisements, attach the final copy of printed advertisements. When advertisements are taped for broadcast, attach the final audio/video tape. You may submit the wording of the advertisement prior to taping to preclude re-taping because of inappropriate wording, provided the HREB reviews the final audio/video tape.)

Response:

* 1. Describe any monetary, subject pool credit, or other forms of compensation which will be provided to participants and any conditions which must be fulfilled to receive compensation.

Response:

* + 1. If the study is being conducted anonymously, how will the compensation (monetary, subject pool credit or other form of compensation) be provided without identifying information.

Response:

# Study Timeline

* 1. Describe the duration of an individual’s participation in the study.

Response:

* 1. Will you be conducting surveys at two or more time periods? (for example, conducting follow-up surveys).

Response:

* + 1. If you are doing two or more surveys, how will you link them?

Response:

1. **Procedures**
   1. Describe how you will administer the Interview/Survey in detail. For example, will you be conducting a web-based based survey, online interviews, focus groups, phone interviews, or paper and pencil surveys?

Response

* + 1. If you are conducting your research over the Internet, what web-based application will you use (e.g., SurveyMonkey, Qualtrics, Google Forms, Zoom, or Webex)?

Response

* + 1. Explain how confidentiality and privacy will be maintained?

Response

* 1. Describe your consent process and include your informed consent statement. (See the [Exempt Informed Consent Policy](https://www.newpaltz.edu/media/sponsored-programs/Informed%20Consent%20for%20Exempt%20Studies%20Policy.docx) and [Template](https://www.newpaltz.edu/media/sponsored-programs/NP%20Template%20Informed%20Consent%20for%20Exempt%20Studies.docx))

Response

* 1. Describe the sources of data about participants. Specify what your survey/interview will measure. Attach all surveys, scripts, and data collection forms. Be sure to describe if you will be collecting data using photographs, audiotapes, and videotapes.

Response

* 1. If you are using a web-based application to collect your data, describe the security of data storage during data collection?

Response:

* 1. Describe what will happen to the data once your study is complete. Please be sure to describe options that you will use to enhance data security.

Response:

# Data Analysis & Management

* 1. Describe the information that you will collect from participants and store (e.g., excel spreadsheet, video or audio recordings, transcripts, photographs, etc...). Describe information and data that will be stored temporarily (e.g., email addresses, a videotape until it is transcribed) and data that will be stored longer. Describe data that will be stored over a longer period of time (codes in an excel spreadsheet). Describe how you will securely store, maintain, use, and disseminate all of the data (e.g., training of research assistants, authorization of access, password protection, encryption, physical controls, certificates of confidentiality, separation of identifiers and data, etc...).

Response:

* 1. Will participants be identifiable? (Video and audio recordings, data with a key to the participant's identity, data with names, numbers or other identifiers are considered identifiable.)

Response: \_\_\_\_\_\_Yes \_\_\_\_\_\_\_No

* + 1. **If yes, you must answer each of the following questions:**

1) What is the justification for collecting data that identifies the participants? Why are the identifiers necessary to conduct the research?

Response:

2) What is the sensitivity of the data being collected? Would disclosure of the data pose a risk to the participants including reputation, employability, legal, financial, health, personal privacy, etc.?

Response:

3) What is the retention period for identifiable data? When will the identified data be deleted or destroyed?

Response:

4) What security controls do you have in place for the identifiable data (i.e., physical safeguards for paper records or recordings, technical safeguards for electronic records, secure sharing or transfer of data outside the institution, if applicable)?

Response:

5) What is the potential risk for harm that would occur if the security of the data was compromised?

Response:

* 1. Who will have access to the data?

Response:

* 1. Describe the ways in which the data will be analyzed. For example, for a quantitative study, a description of the statistical analyses should be provided. For a qualitative study, a description of the methods of data generation/process of analysis such as coding themes or heuristic engagement with the material, such as journaling and field notes, should be provided.

Response:

* 1. Many peer-reviewed journals are now insisting that the raw data set from a study be publicly archived. Have you considered this possibility? Will the deidentified data be stored in a publicly available repository once the data are published? Have you included this possibility in your informed consent statement?

Response:

1. **Risks to Participants**
   1. List the reasonably foreseeable risks, discomforts, hazards, or inconveniences to the participants that could result from participation in the research. Describe the probability, magnitude, duration, and reversibility of the risks. Consider physical, psychological, social, legal, and economic risks. Keep in mind that loss of confidentiality and privacy are considered risks. Please note that no study is considered to involve “no risk.” Minimal risk is defined as risk that is not greater than that encountered in everyday life.

Response:

# Potential Benefits

# Describe the anticipated benefits to participants, society and/or others. (There must be some benefit described.)

Response:

# External Approvals

# Describe any approvals that will be obtained prior to commencing the research, e.g., school, or external sites. Note: If this is an external agency or organization, a letter of cooperation from the highest-ranking official is necessary to be submitted directly to the HREB Office either on letterhead or their workplace e-mail after pending approval of the proposal is received.

Response: