

Central Washington University REQUEST FOR EXEMPTION	BOX FOR HSRC OFFICE ONLY HSRC APPLICATION NUMBER: _____
HSRC Office 400 East University Way Ellensburg WA 98926-7401	Black Hall, Room 225-17 Mail Stop 7401 (509) 963-3115 Fax: (509) 963-1064

HUMAN SUBJECT REVIEW COUNCIL SIGNATURE _____	DATE _____
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CERTIFIED EXEMPT DISAPPROVED

Period of certification is for no more than five years. Certified from _____ through _____
THIS CERTIFICATION IS VALID AS LONG AS THE DETAILS OUTLINED BELOW DO NOT CHANGE.
 (If changes are requested, a [Project Modification Request Form](#) must be submitted and approved.)

Principal investigators who believe their human research protocols are exempt from HSRC review under federal, state, and university guidelines should complete this form. This completed form (no additional copies required) should be forwarded to the Human Subjects Review Council at mail stop 7401. **Do not proceed with recruitment of participants for research until you receive a written letter of exemption from the Human Protections Administrator or HSRC Chairperson.** The contents of this application and attachments will be kept confidential within the limits of state and federal law.

PRINCIPAL INVESTIGATOR: Tom Henderson CWU TITLE: Director of Academic Assessment

DEPARTMENT: Academic Assessment MAIL STOP: 7517 PHONE: 2046

PHONE (where you can be reached during the day): 2046 E-MAIL: _____

MAILING ADDRESS (street, city, state, zip): 400 E. University Way, Ellensburg, WA 98926-7517

CO-INVESTIGATORS (if applicable): _____

PROJECT TITLE: 2018 Priorities Survey for Online Learners

ANTICIPATED START OF STUDY: Jan. 22, 2018 ANTICIPATED TERMINATION DATE: Feb. 5, 2018

FACULTY SPONSOR (if Principal Investigator is a student): NA

GRANT TITLE (if different from project title): NA

PRINCIPAL INVESTIGATOR ON GRANT (if different from PI listed above): NA

FUNDING AGENCY (if applicable): NA DEADLINE: NANA

If data for this research were initially collected as a class project with an approved Request for Course Project HSRC Exemption, complete this box. Course name was _____ Course instructor was <u>NA</u> and HSRC approval number is <u>NA</u>
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1. SIGNATURES

PRINCIPAL INVESTIGATOR. I certify that the information provided in this application is correct and that, to the best of my ability to judge, this research qualifies for exemption and will be conducted in accord with the general principles stated in the CWU Human Subjects Policy and Procedures Manual.

Principal Investigator's Signature

Date

1. SIGNATURES (continued)

FACULTY SPONSOR. I certify that the information provided in this application is correct and that, to the best of my ability to judge, this research qualifies for exemption and will be conducted in accord with the general principles stated in the CWU Human Subjects Policy and Procedures Manual.

Faculty Sponsor's Signature

Date

DEPARTMENT CHAIR/DIRECTOR. I certify that the information provided in this application is correct and that, to the best of my ability to judge, this research qualifies for exemption and will be conducted in accord with the general principles stated in the CWU Human Subjects Policy and Procedures Manual.

Department Chair/Director's Signature

Date

2. CATEGORIES UNDER WHICH THIS STUDY QUALIFIES FOR EXEMPTION (Refer to the Guidelines at the end of this form for a description of categories and examples):

Normal educational research conducted in typical educational settings

Use of already existing data collected for a purpose other than this research (Research involving identifiable data from Washington DSHS, Dept. of Corrections, Dept. of Health, Dept. of Early Learning, or any public institution of higher learning (CWU, UW, etc.) will require informed written consent by person to whom record pertains [see RCW 42.48.020]; otherwise, not exempt and full HSRC application must be completed.)

Surveys/interviews or observation of public behavior

Taste and food quality studies

3. ABSTRACT. Describe the following items in enough detail so reviewers can flowchart your proposed procedures: (a) the purpose of the research; (b) who your participants are, how they will be identified and /or recruited, and your anticipated sample size; (c) what participants will do (if applicable); (d) the nature of the data to be obtained; and (e) how anonymity or confidentiality will be maintained. [Please attach additional pages as necessary.]

The Ruffalo, Noel-Levitz Priorities Survey for Online Learners (PSOL) is an online survey that will be emailed to all CWU students enrolled in online courses. In 2017 the survey was sent to about 4,200 students.

4. HUMAN SUBJECTS

- a. Are there any prisoners, parolees, or incarcerated participants?..... Yes No
- b. Are any participants minors (under 18 years old)?..... Yes No
- c. Are there non-English speaking participants?..... Yes No
- d. Is pregnancy a prerequisite for participation?..... Yes No
- e. Will blood samples, fetuses, or tissue samples be used in this research?..... Yes No
- f. Are you filming, video-taping or voice-recording participants?..... Yes No
- g. Are personal records (medical, academic, etc.) used without written consent?..... Yes No
- h. Will you possess data from participants (e.g., responses, information, specimens) that are directly or indirectly identifiable?..... Yes No
- i. Will any participants also be students in your or your co-investigators' classes during the time of this study?..... Yes No
- j. Are data potentially damaging to participants' financial standing, employability, or reputation?.... Yes No
- k. Are physical or mental illnesses a prerequisite for participation in this study?..... Yes No
- l. Will web-based or "on-line" data collection procedures be used in this study?..... Yes No

(If "yes", see guidance on [Internet Research Issues](#).)

Note: If you answered "Yes" to any of the above, please provide enough detail here to justify inclusion in an exempt category (see Guidelines at end of this application).

The survey is online. Links to the survey will be emailed to students. Students can complete the survey on their computer, tablet, or smart phone. Responses are anonymous. Only overall averages will be reported.

5. INVESTIGATOR INFORMATION

- a) Is the investigator an employee of, or consultant to, the organization from which the participants will be recruited?

No

Yes [Please describe below the nature of the investigator's relationship to the organization and to the study subjects.]

Tom Henderson is a staff (Administrative Exempt) at Central Washington University. He is not teaching a class while students are surveyed.

- b) Briefly detail any previous experience or background you may have had with your target population.

The PSOL survey is administered annually. Most of the students will have been asked to complete it in the past.

6. INFORMED CONSENT. Explain your consenting process (i.e., identify who will be presenting the information, how this person will assess that information is read and understood, how risk of undue influence will be minimized if the investigator is both researcher and teacher to student subjects, if there will be a need for translated version of consent, etc.)

For participants under 18, will written parental permission and children’s assent be obtained?..... Yes No NA

For participants 18 or over, will written informed consent be obtained? Yes No NA

If you answered “No” to either of the above, please state your rationale for a waiver of written informed consent.

Students will have the option to not take the survey if they don’t wish to.

7. ATTACHMENTS. Attach copies of **all** recruitment materials, informed consent documents, and letters of cooperation. Also include copies of surveys, questionnaires, or instruments (see [Guidelines on use of non-original instruments](#)).

Attached are (1) a mockup of the 2017 PSOL survey, (2) the invitation email, and (2) two reminder emails.

8. HSRC is providing a list of names of principal investigators, research titles, and approval dates via the HSRC website in the belief that the university community benefits from the availability of this information.

- I give permission to post my name, study title, and approval date on a list which is linked to the HSRC website.
- I prefer not to have my name, study title, and approval date listed on the HSRC website.

9. APPLICATION CHECKLIST

<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No		RCR Training completed by all investigators (certificate attached or already on file in HSRC office)
<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> NA	Attach copies of written consent, permission, and/or assent forms, or oral consent script
<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	Attach copies of study materials and instruments (e.g., questionnaires, data forms).
<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	Attach copies of recruitment materials (e.g., scripts, advertisements)
<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No		All required inked signatures from Section 1 have been obtained
<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> NA	If other agencies or institutions will participate in recruitment or data collection activities, attach originals of letters of cooperation from those organizations.

Once you have filled out this application, the following guidelines should be deleted before printing.

GUIDELINES

CATEGORIES FOR EXEMPTION

The following guidelines are provided to aid faculty in determining the category or categories of exemption for which this application applies. Examples are provided for clarification.

- **Educational research in educational setting**
Research involving *normal* educational practices in a *typical* setting may be exempt. The key words here are *normal* and *typical*.

Example which would be exempt:

- A teacher, student teacher, or school counseling intern interviews her students to assess the effectiveness of a new reading program. (Generally, this activity is normal for teachers.)
- A high school teacher selects one class to teach quadratic equations a new way and selects the other class to teach quadratic equations the usual way. Her goal is to compare the two methods for learning effectiveness. (Since this teacher frequently compares teaching styles in her classrooms, this is a *normal* educational practice for her.)

Examples which would not be exempt:

- A CWU student researcher interviews middle school students to assess the effectiveness of a new reading program. (This is not exempt because it is not a *normal* educational practice for an *outside* researcher to interview students about an educational program.)
- A teacher surveys her students in the classroom about their after-school activities. (The setting is typical but the activity is not *normal* educational practice.)

▪ **Surveys/interviews/observation of public behavior**

Research in this category is exempt when participants cannot be identified — directly, demographically or statistically — *or* the responses/public observations could not harm participants if made public. Special restrictions apply to subjects from vulnerable populations: children, prisoners, those incompetent to provide informed consent, etc. For example, federal regulations do not allow exemptions for research involving surveys or interviews with children nor any research involving prisoners, including parolees. Furthermore, while passive observation of children is exempt, observation of children when the researcher is a participant is not exempt. Because of the nuances of the law, please consult HSRC for further guidance.

Examples which could be exempt:

- Observation of adults' or children's buying habits in a local McDonald's restaurant (no-risk data, passive observations of adults and children in public setting)
 - Oral history interview of an adult that follows the [Oral History Association \(OHA\) guidelines](#)
 - Surveying CWU adult students about satisfaction with dining services (no-risk data, survey of adults)
 - Passively observing with pencil and paper the interaction of children with fathers at a public park (passive public observations, no identifiers)

Note: Surveying adults with personal or probing questions may be exempt, by federal regulations, if identifiers are not linked to the record; however, these types of questions introduce a level of risk and discomfort to the participant which may require a higher level of review, either minimal risk or full review. At the least, the HSRC review will require a careful examination of the informed consent process, survey procedures, and issues of anonymity/confidentiality. It is suggested the investigator consult with the HSRC administrator before completing an HSRC application.

Examples which would not be exempt:

- Surveying high school students about their eating behavior (surveys using minors— not exempt)
- Surveying college students' drug and alcohol habits with considerable demographics collected (potentially harmful information collected, could be minors in the subject pool, demographics may allow identification)
- Videotaping music practice sessions with teacher for research purposes (identifiers, risk of embarrassment or discomfort)
Note: In general, videotaping allows identification and introduces risk which requires a higher level of HSRC review.
- Observing the conduct of middle school student while interacting with them in a group game (participatory observation of children is not exempt)

▪ **Secondary use of existing data**

Data must already be in existence at the time of HSRC application and must have been collected for some purpose other than this research. Additionally, the existing data are recorded by the investigator so that subjects cannot be identified, directly or through identifiers linked to the subject *or* the data are publicly available. If the data are given to investigator in unidentifiable form, this may be the wrong form to fill out. Please refer to [Archival Decisional Checklist](#) for further guidance.

Examples which would be exempt:

- Principal investigator accesses existing dietary data (originally collected for protein, fat, and carbohydrate analysis) for secondary analysis of vitamin/mineral levels
- Legislators' voting records (public information)

Examples which would not be exempt:

- Data are recorded with a combination of demographic information that would allow identification
- Use of coded student records in which the code allows association with student names and the PI has access to the code key
- Principal investigator wishes to access identifiable private educational records from public school archives without attaining written consent by persons to whom records pertain

▪ **Taste and food quality studies**

Food research to evaluate quality, taste, or consumer acceptance is exemptible if the food is wholesome (has no additives) *or* the food is [Generally Recognized As Safe \(GRAS\)](#).

Examples which would be exempt:

- Taste test involving different regionally grown grapefruit (wholesome food)
- Taste and consumer acceptance test of cake mix using prune whip as a fat substitute (Prune whip is certified safe as a food additive at levels used as fat substitute in cake mix.)
- Taste test if a food is consumed that contains a food ingredient within the [Tolerable Upper Intake Level \(UL\)](#) established by the federal government or is [Generally Recognized as Safe GRAS](#).