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# EVERGREEN

## USE OF HUMAN SUBJECTS APPLICATION

(revised 2/14/11)

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- ◆ **Background:** The Human Subjects Review policy at Evergreen took effect in January 1979 to protect the rights of humans who are participants in research activities. If you are conducting a study using information from people or if you are recording them in some way for that study, you must complete this application with the collaboration of your faculty sponsor.
  - ◆ **General Principles:** All students, staff, and faculty conducting research at the College that involves the participation of humans as subjects of research must ensure that participation is **voluntary**, that **risks are minimal**, and that the **distribution of your study is limited**. All potential physical, psychological, emotional, and social risks should be considered, and explained to the participants in the study. This explanation must be clear, in letter form, and accompanied by a written consent form which the participants sign. Similarly, the researcher must explain to the participant the benefits, the course of study, and purpose of the intellectual inquiry. Participants must not be asked to expose themselves to risk unless the benefits to the participants or society are commensurate. **Please note that in most cases, keeping the participants' names confidential significantly minimizes risks.**
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### A COMPLETE APPLICATION INCLUDES THE FOLLOWING:

- ◆ **A completed Human Subjects Review Application Cover Sheet (form), signed by both the applicant/project director and faculty sponsor, immediate supervisor, director, or dean**
  - ◆ **Answers to the six questions below**
  - ◆ **An informational letter to subjects**
  - ◆ **An informed consent agreement for subjects**
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#### ◆ **Procedure for Application:**

1. The application is attached to this page. Use the first form as the cover sheet for your application, and then answer questions 1 through 6 on another sheet of paper. **Please type or print your application and use complete sentences.** Additional copies of this application are available in the Deans' Reception Area, Academic Deans Office, Library 2002.
2. **If you are a student**, you must consult closely with your faculty sponsor on this application. Your sponsor will ensure that you have a well-designed study; you have prepared appropriate questions if you are conducting a survey or questionnaire; you have completely and accurately completed all parts of the application form including **the six questions, the letter to potential subjects and the consent form**. Your sponsor must sign the application; you are the Project Director.
3. Submit your completed application to the Human Subject Review Coordinator's office, Library 2002. **Questions?** Call the Academic Deans' Office at (360) 867-6870.
4. **If you are doing an Individual Study Contract**, it is important that you fill out this application prior to registration. You should take your completed application to the Academic Deans Office in Library 2002. As long as your Human Subjects Review application has been submitted to the Academic Deans Office prior to the Individual Study Contract deadline, your contract can be reviewed and approved by the deans, and subsequently registered. **You will not be allowed to register your contract without submitting this completed Human Subjects Review application to the Academic Deans.**
5. **If you are a faculty member whose class is conducting research**, you may opt to complete an application for the entire class if the purpose of the research is to achieve the objectives of the course or program if the projects of individual students are sufficiently uniform to be addressed in a blanket application.
6. A member of the Human Subjects Review Board will review all applications once each week. The Academic Deans Office will then send an email notifying the Project Director of the results of that expedited review. **Please allow at least seven working days for this notification.** If your project requires consultation of the Human Subjects Review Board because of its sensitive nature, please allow at least 14 days for notification.

**APPLICATION FORM  
Human Subjects Review**

**Please return this application to:  
The Academic Deans Office, Library 2002  
The Evergreen State College  
Olympia WA 98505  
Phone: 360-867-6870**

**Cover Sheet**

Research project title: \_\_\_\_\_

Name of Applicant(s)/Project Director(s): \_\_\_\_\_

Evergreen ID #: A \_\_\_\_\_ Undergraduate Student \_\_\_\_\_ Graduate Student \_\_\_\_\_ Faculty/Staff

Mailing Address or Mailstop: \_\_\_\_\_

Phone Number: \_\_\_\_\_ Email: \_\_\_\_\_

My use of Human Subjects is for a(n):  
\_\_\_\_ Academic Course or Program \_\_\_\_\_ Individual Learning Contract \_\_\_\_\_ Internship Learning Contract

Quarter(s) F \_\_\_\_\_ W \_\_\_\_\_ SP \_\_\_\_\_ SU \_\_\_\_\_

Year(s) 2011 \_\_\_\_\_ 2012 \_\_\_\_\_ 2013 \_\_\_\_\_

Proposed project dates: \_\_\_\_\_ Date application submitted: \_\_\_\_\_

Faculty sponsor, immediate supervisor, director or dean: \_\_\_\_\_

Funding agencies/research sponsor (if applicable): \_\_\_\_\_

**INDICATE IF THE PROJECT INVOLVES ANY OF THE FOLLOWING:**

\_\_\_\_ minors<sup>1</sup>  
\_\_\_\_ prisoners<sup>1</sup>  
\_\_\_\_ new drugs<sup>2</sup>

\_\_\_\_ abortuses<sup>2</sup>  
\_\_\_\_ fetuses<sup>2</sup>  
\_\_\_\_ pregnant women\*  
\*(non-invasive interaction only)

\_\_\_\_ developmentally disabled<sup>1</sup>  
\_\_\_\_ random sample population<sup>3</sup>  
\_\_\_\_ a cooperating institution<sup>1</sup>

<sup>1</sup> Requires written permission of responsible adult or institutional administration

<sup>2</sup> Unacceptable

<sup>3</sup> May be exempted

**Certification.** We understand that the policies and procedures of the Evergreen State College apply to all research activities involving human subjects which are being performed by persons associated with the College and, therefore, that these activities cannot be initiated without prior review and approval by the appropriate Academic Dean and, as required, by the Human Subjects Review Board.

X \_\_\_\_\_  
**Signature of Applicant(s)/Project Director(s) Date**

I certify to the policies and procedures listed above and I have reviewed this application for content and clarity.

X \_\_\_\_\_  
**Signature of Faculty Sponsor or Immediate Supervisor Date**

## Six Questions

1. How would you summarize, in the form of an **abstract**, the **nature** and **purpose** of your research project?
2. What are the **procedures** to which humans will be subjected, i.e., questionnaires, interviews, audio or video recordings, etc.? When, where, and how will these procedures be carried out? **In the case of questionnaires or interviews, please attach a copy of the questions you will be asking.**
3. How will the **recruitment of human subjects** for your proposed project be carried out? Include your recruitment criteria and procedures.
4. What are the possible **risks to the human subjects**? Specify possible kinds and degrees of risks, e.g., minimal, emotional risk in the form of distress or embarrassment. Outline the precautions that will be taken to minimize these risks, including methods of ensuring confidentiality or obtaining a release to use collected material and information.

**NOTE:** The concept of risk goes beyond obvious physical risk. It could include risk to the subject's dignity and self-respect, as well as emotional, psychological, and behavioral risk. Risk could also include the potential for jeopardizing one's employment or standing in an academic program, organization or workplace, community, or other group.

5. What are the specific, anticipated **benefits** to be gained by completing the project? These may be at an individual, institutional, or societal level.
6. **How will the information derived from this activity be used?** To whom will the information be distributed, and if made, how will the promise of **confidentiality** be kept or carried out in the final product?

## Informed Consent *Letter to Subjects and Consent Agreement*

Human subjects of research must be fully informed about the project they are asked to participate in, and they must give their voluntary consent. Most often this is achieved with a letter from the researcher to the subject and a signed informed consent agreement from the subject. Letters and informed consent agreements should be written in plain language and must state:

- The purpose and procedures of the research you are conducting. (What is the purpose of your research? What is the subject area that you are investigating? What specifically will your subjects experience when they participate in this research project?)
- Risks and discomforts that might result from this research.
- Your plans to minimize or eliminate risks or discomforts.
- Potential benefits of the research.
- Provisions for confidentiality.
- An explanation that participation is voluntary and the participant has the right to discontinue participation at any time
- Contacts for additional information. (Contact information for the Human Subjects Review Administrator, John McLain, should be included along with that of the researcher.)

A sample letter and consent agreement are included on the following pages. ***These sample documents are appropriate models for projects that pose only minimal risks to human subjects. Please be advised that, after initial review of your application and depending on the procedures and risks entailed in your specific project, you may be required to provide additional information to research participants. If you have questions, contact us at 360-867-6870.***

## Sample Letter to Subject

Dear Participant:

I am a student at The Evergreen State College. As part of my coursework in the class, "Broadcast Media: Hype or Enhancement?" I will be conducting a research project titled "What's on Television and Who's Watching?" The purpose of my project is to gather information about TV programming and its impact on adult viewing audiences and produce a research paper and presentation about my findings. I will be conducting a 10-15 minute audio recorded interview of you about your TV viewing practices and the influences TV viewing has in your life.

Any risks to you are minimal, and would likely be nothing more than mild embarrassment from sharing your TV viewing habits. There will be no compensation of any kind available for your participation, which is completely voluntary. You may withdraw your participation at any point or skip any question you do not wish to answer without penalty.

I will keep the digital audio recording of you in a password protected computer accessible only by me. Upon completion of the project, I will destroy the digital file. The information you provide will only be heard and used by myself and my faculty sponsor, Rhoda Hilliard. As mentioned above, I will use your responses only as resource material for my research paper on television programming and viewing in contemporary society. At your request, I will provide you with a copy of the final draft. The paper will not be published, but it will be read by my faculty member and I will make a presentation about it to my fellow students. I may report your answers in my paper, but I will keep your identity confidential and not reveal any identifying information about you in my final paper and presentation.

If you have any questions about this project or your participation in it, you can call me at 555.346.9325. My email address is [pjd@greenmail.com](mailto:pjd@greenmail.com). The person to contact if you experience problems as a result of your participation in this project is John McLain, Academic Grants Manager at The Evergreen State College, Library 3821, Olympia, WA 98505; Phone 360.867.6045.

Thank you for your participation and assistance!

Sincerely,

Stu Dent

## Sample Informed Consent Agreement

I, \_\_\_\_\_, hereby agree to serve as a subject in the research project titled "What's on Television and Who's Watching?" It has been explained to me that its purpose is to gather information about TV programming and its impact on adult viewing audiences. The research activity I will participate in is a 10-15 minute audio-recorded interview.

I have been informed that the information I provide will only be listened to and used for a research paper and presentation by Stu Dent for a class at The Evergreen State College. I also understand that my responses may be reported in the paper and presentation, and my identity will be kept confidential and no identifying information about me will be included. Stu Dent has agreed to provide, at my request, a copy of the final draft of his paper.

I understand that the risks to me are minimal, and would likely be nothing more than mild embarrassment from sharing my TV viewing habits, etc. I agree to be interviewed, and to have that interview audio recorded for this project. I understand the recording will only be heard by Mr. Dent and his faculty and will be destroyed when the project is finished.

There will be no compensation of any kind available for my participation. I understand that I can skip any question or stop the interview and withdraw my full participation from the study at any time without penalty. I understand that if I have any questions about this project or my participation in it, I can call Stu at 555.346.9325, or email him at [pjd@greenmail.com](mailto:pjd@greenmail.com). Likewise, the person to contact if I experience problems as a result of my participation in this project is John McLain, Academic Grants Manager at The Evergreen State College, Library 3821, Olympia, WA 98505; Phone 360.867.6045.

I understand that my participation in this project is completely voluntary, and that my choice of whether to participate in this project will not jeopardize my relationship with The Evergreen State College. I am free to withdraw at any point before or during the interview. I have read and agree to the foregoing.

Signature \_\_\_\_\_ Date \_\_\_\_\_