

Department of Teacher Education
Faculty and Student Research
Procedures for Requesting Review by the
Department of Teacher Education
Human Subjects Committee

Guidelines

If your research will involve the participation of human subjects, then it will need to be reviewed by the Departmental Human Subjects Committee. Please contact the Teacher Education Office (Eureka 202) for procedures for submitting a Human Subjects Application and a listing of the current committee members.

1. To have your Human Subjects Application reviewed, please follow the steps listed below:
 - a. Faculty members are to complete the Human Subjects Application form .
 1. The form is to be signed by the Department Chair.
 2. If you plan to use a questionnaire(s), then the Committee will need to examine the questionnaire(s) and accompanying cover letter(s). If you interview participants, the interview questions will need to be included with your application.
 3. The form(s) used to obtain written consent for participating in the study must also be provided. If you will instead obtain a verbal consent, the script you will use must be provided along with your justification for doing this instead of a written consent.
 - b. Student research, including masters projects and theses, obtain a thesis/project advisor, a Culminating Experience Proposal (if applicable), and a Human Subjects Application form.
 1. After consultation with your thesis/project advisor, complete the Human Subjects Application form.
 2. If you plan to use a questionnaire(s), then the Committee will need to examine the questionnaire(s) and accompanying cover letter(s). If you interview participants, the interview questions will need to be included with your application.
 3. The form(s) used to obtain written consent for participating in the study must also be provided. If you will instead obtain a verbal consent, the script you will use must be provided along with your justification for doing this instead of a written consent.
2. Once the Human Subjects Application is completed and **signed by your advisor**, submit three copies of the form and any attachments (e.g., research proposal, interview questions, questionnaires, cover letters, and consent forms) to the Teacher Education Office, Eureka 202.
3. The form **MUST** be either typed or completed via the use of a word processor. Handwritten forms will **NOT** be reviewed. You can access the Human Subjects form at <http://edweb.csus.edu/departments/edte/forms/index.html> or link to the document at <http://www.csus.edu/departments/edte/Forms/HumanSubj.dot> for an electronic copy of the form.

After your Human Subjects Application has been submitted to the Committee, the following actions will take place:

1. Within two weeks of receipt of an acceptable request form, the Committee chairperson will provide you and your sponsor with a human subjects risk review (NOTE: requests received after May 1st may not be completed until the fall semester).
2. **If the committee finds that your research is “exempt” or “no risk,”** then you and your advisor will be notified by the Teacher Education Department Office of the status of your request (see “Definitions of Consent and Risk” below) .
 - a. Once you receive notification that your request has been approved, you may begin that portion of your research that involves work with human subjects (of course, you may proceed with all other aspects of your research without this Committee’s approval).
 - b. Copies of the Committee-approved review forms will also be available to your advisor.
3. **If the committee does not agree that your research is “exempt” or “no risk,”** then you and your advisor will be notified that the research must be reviewed by the university’s Committee for the Protection of Human Subjects.
 - a. The investigator must then submit a *Request for Review* to the university Committee for the Protection of Human Subjects (CPHS). The protocol must be signed by the faculty advisor (or the

Department Chair for faculty investigators) and must include the department's approval as well as the attachments requested on it. However, do **not** include your research proposal or the application that was submitted to the Teacher Education department. Eleven copies of the CPHS application must be forwarded to the Office of Research and Sponsored Projects (questions may be directed to the Teacher Education committee, or to the Office of Research at 916-278-7381). You may not begin that portion of your research that involves work with human subjects until the university committee approves your human subjects application. The Policies and Procedures of the CPHS (including "Request for Review" forms) are available at <http://www.csus.edu/rsp/humsubmanual.PDF>.

- b. Alternatively, as indicated, the Department Committee may recommend to you how your study might be modified to make it either "exempt" or "no risk."
4. The Department of Teacher Education agrees to adhere strictly to the University *Policies and Procedures of the Committee for the Protection of Human Subjects*.

Department Review Committee Structure

1. The Departmental Human Subjects Committee shall consist of three tenure track faculty: the Department Graduate Coordinator, a member of the Department Graduate Programs Committee, and a graduate student advisor.
2. The member of the Graduate Programs Committee and the graduate advisor shall be elected for two year teams on alternate years to guarantee member continuity from year to year.
3. The Committee members shall be elected by the members of the Graduate Programs Committee and confirmed by the Teacher Education Department Executive Committee.
4. The Human Subjects Committee will meet regularly throughout the semester to review TEHSAR protocols and discuss criteria for approval and alternative ways candidates can minimize risk to their subjects.
5. At the end of the academic year, the Committee will submit a summary report of TEHSAR protocols reviewed and their status to the University Committee for the Protection of Human Subjects.

Definitions of Consent and Risk:

The Committee will use the following definitions of risk and consent as established by the University CPHS committee and federal regulations:

Informed consent - assures that prospective participants understand the nature of the research and can knowledgeably and voluntarily decide whether or not to participate. It is a continuing process, not just a piece of paper. It protects both the participant and the investigator, who otherwise faces legal hazards. When children and/or adolescents are participants in a research study, the investigator must solicit both the assent of the children and the permission of the parents or guardians. Also, the Buckley Amendment requires parental consent for release of records or identifiable information about children in public schools, and instructional materials to be used in connection with research must be available for inspection by parents or guardians.

Exempt- Some categories of research are considered "exempt" under federal regulations. (The research must still be reviewed.) For more specific information, see Federal Policy §46.101(b). Examples include:

- 1 Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as regular and special education instructional strategies, or the effectiveness of or comparison among instructional techniques, curricula, or classroom management methods.
- 2 Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless the information obtained is recorded in a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and any disclosure of the subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or damage the subjects' financial standing, employability, or reputation.

3 Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior that is not exempt

under paragraph (2) if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

4 Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in such a manner that subjects cannot be identified, directly or through identifiers.

5 Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine public benefit or service programs; procedures for obtaining benefits or services under those programs; possible changes in or alternatives to those programs or procedures; or possible changes in methods or levels of payment for benefits or services under those programs.

No Risk- Research is approved as “no risk” when no harm or discomfort is anticipated for participants.

Minimal Risk- Research is approved at “minimal risk” when the probability and magnitude of harm or discomfort anticipated for participants is no greater than what might be encountered in daily life or during the performance of routine physical or psychological examinations or tests [Federal Policy §46.102(i)]. (Note that only “minimal risk” is defined in the federal regulations.)

At Risk- Research is approved as “at risk” when the probability and/or the magnitude of possible harm (physical, psychological, social, or economic) from participation in a research study is more than minimal.

Psychological Harm- An example of psychological harm would be stress or feelings of guilt or embarrassment from thinking or talking about one’s own behavior or attitudes on sensitive topics such as drug use, sexual orientation, selfishness, or violence. These feelings may be aroused from being interviewed or from filling out a questionnaire. Another kind of risk would be invasion of privacy, for example, from covert observation (even in a public place) of behavior that participants would likely consider private. Still another risk of psychological harm occurs when there is inadequate protection for the confidentiality of data that has been given voluntarily.

Social and Economic Harm- Some invasions of privacy or breaches of confidentiality could result in embarrassment or harm to a participant’s reputation within his or her business or social group, a loss of employment, or criminal prosecution. Areas of particular sensitivity include such topics as alcohol or drug abuse, child or partner abuse, and sexual behavior