

**APPLICATION FOR THE USE OF HUMAN SUBJECTS**

Committee on the Protection of Human Subjects  
815 Kehoe Administration Building  
SUNY Plattsburgh  
Plattsburgh, NY 12901  
(518) 564-2155

PROJECT TITLE: \_\_\_\_\_

PRINCIPAL INVESTIGATOR(S): \_\_\_\_\_

(Qualifications of Investigator/s complete question #1)

Department \_\_\_\_\_ Phone \_\_\_\_\_

PROTOCOL #

Campus/Office Address \_\_\_\_\_

**FOR COMMITTEE USE ONLY**

Faculty: \_\_\_\_ Yes \_\_\_\_ No      Sponsor if Non-Faculty \_\_\_\_\_

APPLICATION STATUS: New \_\_\_\_ Annual Review \_\_\_\_ Revision/ Addendum \_\_\_\_

FUNDING SOURCE: \_\_\_\_\_

New \_\_\_\_ Renewal \_\_\_\_

NUMBER OF SUBJECTS: \_\_\_\_ TYPE OF SUBJECTS (check all that apply): \_\_\_\_ Male \_\_\_\_ Female  
\_\_\_\_ Adults (age range \_\_\_\_\_)      \_\_\_\_ Children (age range \_\_\_\_\_)  
\_\_\_\_ Normal Volunteers      \_\_\_\_ Mentally Retarded/Disabled      \_\_\_\_ Prisoners  
\_\_\_\_ Persons of special classes--see #2 (specify: \_\_\_\_\_)

TYPE OF PROCEEDURES (check all that apply):

\_\_\_\_ Review of Records      \_\_\_\_ Interview      \_\_\_\_ Hypnosis  
\_\_\_\_ Observation      \_\_\_\_ Audiotaping      \_\_\_\_ Deception  
\_\_\_\_ Videotaping      \_\_\_\_ Photographs      \_\_\_\_ Threat/Embarrassment  
\_\_\_\_ Survey (mail, telephone, in-person)      \_\_\_\_ Standardized Tests (Personality, etc.)      \_\_\_\_ Recording of Identifiable personal data

WHERE WILL RESEARCH TAKE PLACE?

\_\_\_\_ Off Campus (Where \_\_\_\_\_)      \_\_\_\_ On Campus (Where \_\_\_\_\_)

STUDY WILL BEGIN \_\_\_\_\_ STUDY WILL END \_\_\_\_\_

month/year

month/year

WILL SUBJECT BE COMPENSATED? \_\_\_\_ Yes \_\_\_\_ No

If yes, specify: \$ \_\_\_\_\_ Under what terms \_\_\_\_\_

WHO WILL OBTAIN CONSENT? \_\_\_\_\_

COOPERATING INSTIUTIONS: \_\_\_\_\_

**COMMITTEE USE ONLY**:

TYPE OF REVIEW: \_\_\_\_ Exempt \_\_\_\_ Expedited \_\_\_\_ Full Committee \_\_\_\_ Emergency

Approval Date: \_\_\_\_\_

Code \_\_\_\_\_

**IN ORDER TO PROTECT THE SUBJECTS, THE INVESTIGATOR, AND THE INSTITUTION ALL APPLICANTS FOR THE USE OF HUMAN SUBJECTS MUST ANSWER IN DETAIL THE FOLLOWING QUESTIONS CONCERNING THEIR PROJECT.** These questions are from the PHS 398 application form, Section E of the application as modified.

1. Describe qualifications and relevant experience of the principal investigator(s). In the case of student investigators, describe relevant experiences and how faculty sponsor/s will assure compliance with the regulations governing the use of human subjects. Attach copy of vitae of Principal Investigator and faculty sponsor (if appropriate).
2. Provide a brief statement of specific goals and objectives concerning the purpose of the proposed activity.
3. Describe the characteristics of the subject population, such as their anticipated number, age ranges, sex, ethnic background, and health status. Identify the criteria for inclusion or exclusion. Explain the rationale for the use of special classes of subjects, such as fetuses, pregnant women, children, institutionalized mentally disabled, prisoners, or others who are likely to be vulnerable.
4. For individually identifiable living human subjects, identify sources of research materials (interviews, specimens, records, or other data, etc.), and identify use to which information gathered is to be put, as research only; research and treatment; teaching; etc.
5. Describe plans for the recruitment of subjects and the consent procedures to be followed, including the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects and the method of documenting consent. State if the institutional review board has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent. The consent form must have institutional review board approval.
6. Describe any potential risks--physical, psychological, social, legal, or other--and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.
7. If the data content to be gathered deals with criminal acts, sexual conduct (and behavior), drug and alcohol use, sensitivity and awareness to potential risks and/or liabilities for the subjects, the investigator and the institution and the precautions planned to minimize risks/liabilities must be described in full.
8. Describe the procedures for protecting against or minimizing any potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for insuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to insure the safety of subjects.
9. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.
10. Attach a copy of Informed Consent and all survey instruments to be used.

9/6/02