

**HUMAN SUBJECTS PROTOCOL APPROVAL FORM**  
**Cal Poly, San Luis Obispo**

All Cal Poly faculty, staff, and student research with human subjects, as well as other research involving human subjects that is conducted at Cal Poly, must be reviewed by the Cal Poly Human Subjects Committee for the protection of the human subjects, the researchers, and the University. Human subjects research is defined as any systematic investigation of living human subjects that is designed to develop or contribute to generalizable knowledge. While the ethical guidelines for research are applicable to classroom activities, demonstrations, and assignments, the Human Subjects Committee does not review classroom activities unless data will be collected and used in a systematic investigation.

Researchers should complete all items on this approval form and submit the appropriate number of copies of it, along with copies of a research protocol (containing the information detailed in the document Guidelines for Human Subjects Research Protocols), to the office of the current Chair of the Human Subjects Committee (Dr. Steve Davis, Bldg. 43, Rm. 353). Please feel free to attach an additional page if your responses to any of the items require more space. Your answers to the items on this form, as well as the research protocol, should be typed. The Committee will make every effort to respond to your submission within two to three weeks. Committee approval should be received prior to contacting prospective subjects and collecting data. Please read carefully Cal Poly's Policy for the Use of Human Subjects in Research prior to completing this application.

1. Date \_\_\_\_\_
  
2. Title of the research project: \_\_\_\_\_  
\_\_\_\_\_
  
3. Type of research: \_\_\_\_\_ Senior Project \_\_\_\_\_ Master's Thesis  
\_\_\_\_\_ Faculty research \_\_\_\_\_ Other \_\_\_\_\_  
(Please describe)
  
4. Name(s) of researcher(s):  
A. \_\_\_\_\_ Dept. or Other  
(principal investigator) Affiliation \_\_\_\_\_ Phone \_\_\_\_\_  
E-mail address: \_\_\_\_\_  
Position: \_\_\_\_\_ Faculty \_\_\_\_\_ Student \_\_\_\_\_ Other \_\_\_\_\_  
(Please explain)

B. \_\_\_\_\_ Dept. or Other  
Affiliation \_\_\_\_\_ Phone \_\_\_\_\_

Position: \_\_\_ Faculty \_\_\_ Student \_\_\_ Other \_\_\_\_\_  
(Please explain)

C. \_\_\_\_\_ Dept. or Other  
Affiliation \_\_\_\_\_ Phone \_\_\_\_\_

Position: \_\_\_ Faculty \_\_\_ Student \_\_\_ Other \_\_\_\_\_  
(Please explain)

Any additional researchers involved in the project should be listed with the descriptive information requested above on a separate sheet.

5. Faculty advisor, if applicable:

\_\_\_\_\_ Dept. or Other  
Affiliation \_\_\_\_\_ Phone \_\_\_\_\_

E-mail address: \_\_\_\_\_

Other thesis committee members if the research is a thesis:

A. \_\_\_\_\_ Dept. or Other  
Affiliation \_\_\_\_\_ Phone \_\_\_\_\_

B. \_\_\_\_\_ Dept. or Other  
Affiliation \_\_\_\_\_ Phone \_\_\_\_\_

C. \_\_\_\_\_ Dept. or Other  
Affiliation \_\_\_\_\_ Phone \_\_\_\_\_

6. Is there an external funding source for the project? \_\_\_ Yes \_\_\_ No

If so, identify the funding source: \_\_\_\_\_

7. Is this a modification of a project previously reviewed by Cal Poly's Human Subjects Committee?

\_\_\_ Yes \_\_\_ No

If so, indicate the approximate date(s) of prior review(s).

\_\_\_\_\_

8. Estimated duration of the project: \_\_\_\_\_, 20\_\_\_ to \_\_\_\_\_, 20\_\_\_

9. Describe *any* risks (physical, psychological, social, or economic) that may be involved. See Specific Ethical Criterion #1 in Cal Poly's Policy for the Use of Human Subjects in Research for a description of the types of risks.
10. Indicate what measures will be taken to minimize risks. See Specific Ethical Criterion #1 in Cal Poly's Policy for the Use of Human Subjects in Research for a discussion of strategies for minimizing risks.
11. Explain how subjects' confidentiality will be protected. See Specific Ethical Criterion #5 in Cal Poly's Policy for the Use of Human Subjects in Research for a discussion of protection of confidentiality.
12. Describe any incentives for participation that will be used. See Specific Ethical Criterion #2 in Cal Poly's Policy for the Use of Human Subjects in Research for a discussion of the use of incentives in research.
13. Will deception of subjects be involved in the research procedures?  Yes  No
- If so, explain the deception and how it will be handled. See Specific Ethical Criterion #3 in Cal Poly's Policy for the Use of Human Subjects in Research for a discussion of the use of deception in research.

14. Type of review requested:  Minimal review\*  
 Expedited review  
 Full review

See the section titled “Types of Review” in Cal Poly’s Policy for the Use of Human Subjects in Research for a discussion of the criteria for minimal, expedited, and full reviews.

\*The research protocol submitted for minimal review may be abbreviated but should contain sufficient information to support the conclusion that the project meets the criteria for minimal review.

15. Signatures:

Primary Researcher

Your signature below indicates that the information presented in this application (the approval form and research protocol) is accurate and that you have read, understand, and agree to follow the guidelines contained in Cal Poly’s Policy for the Use of Human Subjects in Research.

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Primary Researcher

Faculty Advisor (if applicable)

Your signature below indicates that you have reviewed this research proposal, that you have agreed to supervise this research, and that you believe it is in compliance with Cal Poly's Policy for the Use of Human Subjects in Research.

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Faculty Advisor