

INDIANA UNIVERSITY BLOOMINGTON INSTITUTIONAL REVIEW BOARD (IRB) REVIEW

EXEMPT RESEARCH CHECKLIST

IRB Study #: 1002000993

*(IRB Office will assign)*

**DIRECTIONS:** This form is to be neatly typed and submitted to the IRB only when the investigator is contemplating the initiation of a research project which, in the investigator's judgment, is exempt from full IRB review. The IRB will then determine whether the activity is covered by these regulations.

Research activities are exempt from regulations for the protection of human research subjects when they are considered minimal risk (the probability or magnitude of harm or discomfort anticipated in the research are not greater in and of themselves than those ordinarily encountered in daily life or during the performance of routine physical or psychological examinations or tests (as defined by 45 CFR 46.102(i)) and the ONLY involvement of human subjects falls within one or more of the exempt categories listed below.

The exempt categories outlined below do not apply to research involving prisoners or research involving a test article regulated by the FDA, unless the research meets the criteria for exemption described in 45 CFR 46.101(b)(6) and 21 CFR 56.104(d).

The exempt categories outlined below are based solely on methods of research, and do not take the level of risk into consideration. Although most exempt research requires no further oversight to be conducted ethically, some exempt research raises ethical concerns or requires measures to protect participants. As such, the IRB will not consider any research exempt that does not fulfill ethical principles reflected in the Belmont Report. These basic ethical principles are:

1. Respect for Persons (Autonomy) – individuals should be treated as autonomous agents and persons with diminished autonomy are entitled to protection.
2. Beneficence – Human subjects should not be harmed and the research should maximize possible benefits and minimize possible harms.
3. Justice – the benefits and risks of research must be distributed fairly.

Research that otherwise would be exempt by federal regulations that raises ethical concerns or requires measures to protect subjects may be denied and/or moved to a higher level of review (i.e. expedited or full IRB review).

**Check the appropriate category(ies) that applies to your research project:**

<input type="checkbox"/>	1. Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (i) research on regular and special educational instructional strategies, or (ii) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods. [45CFR46.101(b)(1)]
<input checked="" type="checkbox"/>	2. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless all of the following are true:  (i) information obtained is recorded in such a manner that the human subjects can be identified, directly or through identifiers linked to the subjects; and  (ii) any disclosure of the subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, insurability, or reputation. [45CFR46.101(b)(2)]  <b>NOTE: If the research involves children as participants, the research must be limited to educational tests (cognitive, diagnostic, aptitude, achievement) and observation of public behavior when the investigator(s) do not participate in the activities being observed. Research involving children that uses survey procedures, interview procedures, or observation of public behavior when the investigator(s) participate in the activities being observed cannot be granted an exemption.</b>
<input type="checkbox"/>	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 category 2 above, if either:

- (i) the human subjects are elected or appointed public officials or candidates for public office; or
- (ii) federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter. [45CFR46.101(b)(3)]

If any of the above categories have been selected, answer the following:

Will you be audio or video recording?

No

Yes. Explain how it will be assured that the identity of the subjects and/or link to the information obtained or the information recorded about the subjects does not place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, insurability, or reputation:

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 linked to the subjects. [45CFR46.101(b)(4)]

**To qualify for this exemption, data, documents, records, or specimens must exist at the time the research is proposed and not prospectively collected.**

Provide a list of all data points that will be collected below or attach a data collection sheet.

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:

(i) public benefit or service programs;

(ii) procedures for obtaining benefits or services under those programs;

(iii) possible changes in or alternatives to those programs or procedures; or

(iv) possible changes in methods or levels of payment for benefits or services under those programs. [45CFR46.101(b)(5)].

The program under study must deliver a public benefit (for example, financial or medical benefits as provided under the Social Security Act) or service (for example, social, supportive, or nutrition services as provided under the Older Americans Act).

The research or demonstration project must be conducted pursuant to specific federal statutory authority, must have no statutory requirement that an IRB review the project, and must not involve significant physical invasions or intrusions upon the privacy of the subjects.

This exemption is for projects conducted by or subject to approval of Federal agencies and requires authorization or concurrence by the funding agency.

6. Taste and food quality evaluation and consumer acceptance studies,

(i) if wholesome foods without additives are consumed; or

(ii) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural, chemical, or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture. [45CFR46.101(b)(6) and 21 CFR 56.104(d)]

INDIANA UNIVERSITY – BLOOMINGTON INSTITUTIONAL REVIEW BOARD (IRB) REVIEW

EXEMPT RESEARCH CHECKLIST

IRB Study #: 1002000993

(IRB Office will assign)

**SECTION I: INVESTIGATOR INFORMATION**

Principal Investigator: Veldkamp, Steve J.

(Last, First, Middle Initial)

Department: Student Activities

Building/Room No.: IMU Suite 371

Phone: 812- 855-4311

E-Mail: veldkamp@indiana.edu

Faculty Sponsor: John Kennedy

(Last, First, Middle Initial)

Department: Center for Survey Research

Building/Room No.:

Phone: 812-855-2573

E-Mail: kennedyj@indiana.edu

Project Title: The Fraternity and Sorority Experience Survey (FSSES) and the Greek Experience Survey (GES)

Sponsor/Funding Agency: Self-funded

**SECTION II: PERFORMANCE SITE**

Indiana University Bloomington Campus; state location(s):

Other Indiana University Campus: state location(s):

Anthropology

Bloomington Hospital

Bradford Woods

School of Business

Economics

School of Education

French and Italian

Gender Studies

Health Center

Health, Phys Ed & Rec (HPER)

IN Institute on Disability & Communication

Informatics

School of Journalism

The Kinsey Institute

Library General

School of Library & Info Science

MCCSC (Monroe School District)

School of Music

Nursing

Optometry

Population Institute for Research & Training

Department of Psychology and Brain Sciences

Second Language Studies

Sociology

Spanish & Portuguese

Public & Environmental Affairs (SPEA)

Speech and Hearing Sciences

Center for Survey Research

Telecommunications

University Info Tech Services

Center for Evaluation and Education Policy

Central Eurasian Studies

Communication and Culture

Computer Science

Criminal Justice

Folklore and Ethno Musicology

History

Linguistics

Other: Higher education institutions that have fraternity and sorority systems, and Fraternity/Sorority inter/national headquarters in the United States will be able to administer this survey to their respective members.

**SECTION III: RESEARCH DESCRIPTION**

1. Provide a brief description, in lay terms, of the purpose of the proposed project and the procedures to be used.

The purpose of the study is to assess individual and environmental factors that influence social and academic outcomes for students in fraternities and sororities. This study will be managed by the Center for the Study of the College Fraternity (CSCF) and the Center for

Survey Research (CSR), but will be administered by the respective Fraternity/Sorority national headquarters or institutions that have fraternity/sorority systems on their campuses. The instrument for data collection is the CSCF Fraternity and Sorority Experience Survey (FSES), originally the Greek Student Experience Survey (GES) developed at University of Minnesota. The survey will be administered either as a paper/pencil survey or online depending on organization, institution or chapter preference. The survey takes approximately 30-45 minutes to complete. Subjects may skip questions throughout the survey. No identifiable information is collected other than the individual's fraternity or sorority affiliation.

Questions address the experiences of students as members of a fraternity/sorority. Questions focus on twelve areas of the fraternity and sorority experience: background information, early experiences in the organization, housing facility, gaining of new members, new member/intake process, chapter affairs, advising and alumni involvement, personal involvement, academics, personal growth and development, alcohol and overall impressions of their experience. The survey can be accessed at [http://www.indiana.edu/~cscf/documents/Fraternity and Sorority Experience Final.pdf](http://www.indiana.edu/~cscf/documents/Fraternity%20and%20Sorority%20Experience%20Final.pdf)

Differences between the FSES and GES are explained below.

We seek approval for the FSES, which is the electronic version and The Greek Experience Survey (GES), which is ONLY offered via paper. We offer the GES to campuses who want to administer paper instruments. As you can see the instruments are almost exactly the same, however their differences are:

1. The FSES has more questions. Most are identical to the GES.
2. Additional questions may be added to the FSES.
3. The FSES has an informed consent statement that students indicate agreement to by beginning the survey. The GES should have an informed consent statement developed by the host institution. A sample is attached to this application.

FSES and GES are explained as "the survey" throughout this document due to their overlap. We differentiate when needed.

Additionally, CSCF will aggregate all the data that is collected from the institutions and national headquarters. These data will be used to create and publish national norms. These data will not contain any institutional and chapter identifiers. Data will also be used to conduct conference reports and write articles. No institution or organization will be identified.

b. Please state the eligibility (inclusion/exclusion criteria).

The survey will be administered to students above 18 years old that are recognized as members of a fraternity or sorority by a person responsible for fraternity and sorority community oversight at their respective institutions. Members of a single organization may take the survey as well if the national headquarters should choose to administer the survey.

c. Will subjects be compensated for participation?

No compensation will be given by CSCF or CSR for participation in this study. Institutions may choose to provide incentives and will work through their respective Human Subjects Office to address this addition.

**ONLY COMPLETE 2-4 BELOW IF YOU SELECTED CATEGORY 1, 2, 3, 5, OR 6 ON THE EXEMPT RESEARCH CHECKLIST.**

2. Provide the process by which individuals will be recruited.

Recruitment of participants will be determined locally at each respective institution, or at inter/national Fraternity/Sorority headquarters interested in administering the FSES or the GES. CSCF will provide the campus or the national headquarters with the surveys (paper/pencil) or a URL for online administration. A sample invitation has been developed and is attached. Institutions will be expected to comply with Human Subjects protocol at their institution and ensure the spirit of Indiana University's Human Subjects protocol is respected.

a. Explain how it will be ensured that recruitment or selection will not unfairly target a particular population or will target the population that will benefit from the project/research.

The recruitment will not unfairly target any group of individuals because the survey will be used to assess the experiences of all willing fraternity and sorority members on campus (institutional survey administration), or nationally (headquarters survey

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administration). Institutions will be expected to comply with Human Subjects protocol at their institution and ensure the spirit of Indiana University's Human Subjects protocol is respected.

3. Explain how it will be ensured that individuals will be treated with respect during interactions/observations with them. For those individuals with diminished autonomy (e.g. children, people with limited ability to make decisions), explain how they will be protected.

Individuals will have the option to complete the survey at their own time, and in a location that they deem safe. None of the survey participants will be coerced by Indiana University to participate in the study nor will any punitive measures be taken against those who opt out of the survey. Institutions will be expected to comply with Human Subjects protocol at their institution and ensure the spirit of Indiana University's Human Subjects protocol is respected.

- a. Explain how individual privacy will be protected. For example, if interviewing, where will that be conducted?

The paper survey asks for chapter affiliation and does not request individual identifying information. The online survey asks students to select from a list of chapters on the campus and does not request individual identifying information. The online link for the survey is the same for all participants and is disseminated by the institution or organization administering the survey. There is no way to connect students to the survey link. Individuals will be asked explicitly not to mark any personal identifiers on the paper survey. Once participants have completed the survey, there will be no identifiers that can be used to trace responses back to the individual. Only chapter identifiers will be retained for use as an independent variable during analysis. Institutions will be expected to comply with Human Subjects protocol at their institution and ensure the spirit of Indiana University's Human Subjects protocol is respected.

- b. Explain how individual confidentiality will be protected. For example, what kind of information will be recorded and how will that be protected?

Data on fraternity and sorority student experiences will be gathered. These data will include demographic information as well as recruitment, academic, civic, social, and involvement experiences that students have undergone prior to, and during the period as members of their respective chapters. Although it is uncommon, study participants may be psychologically uncomfortable answering some questions on the survey.

CSR and CSCF has partnered to ensure the instrument has computing environment safety and has multiple precautions to protect the anonymity of respondents, which include:

- Using password-protected, encrypted technology to receive, transmit and store data
- Providing randomly assigned, dedicated survey IDs to separate data and case identifiers
- Results of data analysis will not have any information that may be traced to individual respondents
- Data from any one campus will not be shared with other institutions asbwe
- Presentations generated from this research only provide data in aggregate, without reference to individual institutions or respondents.

4. How will you help to minimize potential risks that individuals may be exposed to while participating in the research? Potentials risks may include psychological, social, legal, physical, etc.

There will be no way to link any responses to particular participants. If the survey is administered online, the participants have the flexibility to take the survey at a time and place of their own choice, with no possibility of coercion to respond to items on the survey. An additional risk of the paper version is that it may be easier to connect students to surveys if the proctor fails to exhibit basic expectations of human subject research:

Respect for Persons (Autonomy) – individuals should be treated as autonomous agents and persons with diminished autonomy are entitled to protection.

Beneficence – Human subjects should not be harmed and the research should maximize possible benefits and minimize possible harms.

Justice – the benefits and risks of research must be distributed fairly.

Institutions will be expected to inform their proctors of their responsibility to human subjects. Content for an email explaining this to institutions is as follows:

Please review your institution's human subjects protocol with proctors of the Greek Experience Survey. It is important that the proctor not violate the spirit of human subjects research. An example may be marking surveys as she/he receives them from participants or changing answers. Proctors are expected to collect surveys and not change anything about them at any point of time during which the surveys are in their possession.

**SECTION IV: CO-INVESTIGATORS**

A. **Co-investigators:** Provide the name and department of other individual(s) assisting with the study who 1) will be responsible for the design, conduct, or reporting of the study, 2) have access to subjects (i.e. will consent subjects, conduct parts of the study), 3) will be making independent decisions about the inclusion or exclusion of participants, or 4) have access to identifying and confidential information.

1. List individuals from affiliated institutions who are directly interacting or intervening with subjects:

Name	Department	
Daniel A. Buraeu	School of Education, Educational Leadership and Policy Studies,	Higher
Education and Student Affairs		

The individuals listed above are required to:

- 1) Pass the IU human subjects protection test, unless special circumstances apply. Please refer to <http://www.iupui.edu/%7Eeresgrad/Human%20Subjects/human-menu.htm> for additional information.
- 2) Provide the IRB with documentation of their agreement to participate in the research. This can be accomplished by having the individual provide his/her signature next to his/her name above or including a memo (or email) from the individual documenting agreement to participate in this specific protocol.
- 3) Have a Conflict of Interest (COI) disclosure form on file with the COI Committee. Please refer to <http://www.iupui.edu/~eresgrad/spon/policiescontent.htm> for additional information.

2. List individuals from affiliated institutions who are **not** directly interacting or intervening with subjects:

Name	Department

B. **Collaborating Co-investigators.** List any co-investigators from nonaffiliated institutions for which the IU-Bloomington IRB is providing the review and approval for their role in the study.

**Note:** For each nonaffiliated investigator, a nonaffiliated investigator agreement may be required. For additional guidance, refer to: <http://www.iupui.edu/%7Eeresgrad/spon/non-affiliated-pi.rtf>. Nonaffiliated investigators who are directly interacting or intervening with subjects (including obtaining consent) must either pass the IU humans subjects protection test, be from a COGR institution, or provide documentation of passing the CITI or NCI protection of human subjects test.

Name of Co-investigator	Institution	Role	Procedures performed

**Statement of Principal Investigator.** I have personally reviewed this application and agree with its contents and am aware of my responsibility to provide supervision and guidance during its execution (in the case of a student project).

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

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**SECTION IV: EXEMPT REVIEW DETERMINATION**

Accepted, Exempt Category(ies): 2

Denied, Reason: \_\_\_\_\_

Authorized Signature: Peter Finn Date: 2/10/2010

Recorded in the Minutes of: \_\_\_\_\_  
\_\_\_\_\_