

# Sample IRB application relevant for those conducting surveys

# **EXEMPTION FORM**

<b>San Jose State University</b>	<b>Human Subjects—Institutional Review Board</b>
<b>Request for Exemption from Human Subjects Review</b>	
Name: Dr. Shishir Mathur and Dr. Melinda Jackson Department: Urban and Regional Planning (Dr.Mathur); Political Science (Dr. Jackson)	
Phone Number : Work:408-924-5875	During: 9 am to 6 pm
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Pager: N/A <b>E-mail address:</b> shishir.mathur@sjsu.edu	
Address: One Washington Square, SJSU, San Jose, CA 95192-0185	
Select one: SJSU Student ___ SJSU Faculty <u>X</u> SJSU Staff _____	
Non-SJSU Investigator _____ If Non-SJSU Investigator, SJSU contact: _____	
If Student, Name of Faculty Advisor:	
Signature of Faculty Advisor: _____	
Title of proposed project: Five Wounds / Brookwood Terrace (FWBT) Neighborhood: Residents' Perception Survey	
Abstract:	
This study aims, through the survey of residents of Five Wounds / Brookwood Terrace area of San Jose', to find out:	
a) residents' perception of the quality of their neighborhood; b) residents' perception of the involvement of neighborhood.	
San José State University in their neighborhood; and c) residents' political views.	
Funded by:	

**INSTRUCTIONS**

**DESCRIBE:**

1. Purpose of proposed research
2. Methodology
3. Timelines
4. Procedure for selecting subjects
5. Number and age of subjects
6. Status of the information collected is
  - Archival
  - Data Base
  - Non-Collected
  - Others: \_\_\_\_\_
7. How and where information collected will be kept safe

**ATTACH:**

1. Example of materials such as questionnaires, interview questions, representation of computer-generated stimuli, etc.
2. Document (on SJSU letterhead) that ensures informed consent (form for subjects signature, text to be read in telephone interviews, or introduction to inquiry with "primary sources"
3. Agreements or permission letters from participating institutions (as sources of subjects, or other participation)

**CATEGORY OF EXEMPT RESEARCH b** (see Categories of Exempt Research, next page)

***Do not write below this line — for IRB use only.***

<b>HUMAN SUBJECTS—INSTITUTIONAL REVIEW BOARD ACTION</b>	
Request Approved _____	More Information Required _____ HS—IRB Review Required _____
Provide the following information:	
To: HS-IRB Reviewer:: Date:	
Reviewer's Signature: _____	Date: _____

San José State University Policy (F90-4) exempts several classes of research from HS-IRB review. SJSU bases recognition of these exemptions on the following two assumptions:

1. The risk to participants in the proposed activity is so minimal that required HS-IRB review represents unwarranted intrusion into the process.
2. Investigators (faculty, students, or staff) understand, accept, and will implement the principles of informed consent contained in Appendix C of policy F90-4.

At SJSU, investigators who conduct exempt research are required to provide individual participants with reasonable and necessary information so they may form their own decision to participate (e.g., cover letter to a questionnaire) and/or secure permission to conduct research from participating institutions.

## Categories of Exempt Research

- a) Research conducted in established or commonly accepted educational settings, involving normal educational practices, including research on regular and special educational packages and comparisons among instructional techniques. This category will generally allow educational institutions to evaluate their educational programs.
- b) Research involving the use of educational tests, survey procedures, or observation of public behavior unless the information obtained is recorded in such a fashion that individuals can be identified and/or disclosure of responses outside the research could place the subjects at risk of criminal/civil liability and/or damage subjects' financial standing, employability or reputation.
- c) Research involving public officials or collection of personally identifiable information for which federal statutes require permanent confidentiality (rendering HS-IRB review unnecessary).
- d) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or no individual identification can be made.
- e) Research and demonstration projects approved by public agency heads and designed to study, evaluate, or otherwise examine public benefits or service programs.
- f) Taste or food quality evaluation and consumer acceptance studies if wholesome foods without additives are consumed or all ingredients are at or below safe levels set by the FDA.
- g) Requests for information from persons who agree to serve as "primary sources" subject to attribution in the professional writings of journalists, biographers, historians, anthropologists, etc.

**NOTE:** *The decision to exempt a protocol from HS-IRB review is made by the HS-IRB reviewer. Exemptions from HS-IRB review will not be granted for research involving protected classes of subjects (e.g., fetuses, pregnant women, prisoners, children, or those institutionalized as mentally disabled), even though the research may appear to belong to exempt category.*

Please submit two copies of this request and all supporting materials (as needed) to:

HS-IRB Coordinator  
Graduate Admissions and Program Evaluations  
San Jose State University  
One Washington Square  
San Jose, CA 95192-0025

If you have questions, please call (408) 924-2480

# **IRB SUPPORTING INFORMATION**

## Statement of Purpose and Justification

The purpose of this survey instrument is to collect data about: a) the perception of the residents of Five Wounds/ Brookwood Terrace neighborhood of City of San José about the quality of their neighborhood, and about the involvement of San José State University in their neighborhood; and b) political view of the residents. There is no reasonable alternative way to gather this information without seeking information from and opinions of the residents' about the above mentioned topics. The findings of this survey will feed into the larger CommUniverCity project.

CommUniverCity San Jose is a collaboration between the San José neighborhood of Five Wounds / Brookwood Terrace, San José State University, and the City of San José. This neighborhood was selected because it was judged underserved by the City and other agencies, and is part of the City's Strong Neighborhood Initiative (SNI), which means the City is investing extra money and staff time in the neighborhood's improvement. The SNI process includes an elected Neighborhood Advisory Council (NAC) composed of local residents which reviews and must approve all projects. They have welcomed CommUniverCity, which will concentrate a range of service learning projects and classes in these neighborhoods over a period of five years or longer in hopes that by concentrating our efforts and extending them over a substantial time, we can have a significant impact. The SJSU CommUniverCity projects will be supported by the City and approved by the NAC. In order to measure the impact of the CommUniverCity projects, several outcomes/assessment procedures are being developed. The proposed survey will be one component of the CommUniverCity outcomes/assessment process. Elements of the survey will help CommUniverCity assess the needs of the neighborhood and provide a baseline of data for comparison to the findings of future surveys.

## Hypothesis

Specifically, the hypothesis is that the socio-economic background of the residents' will influence; a) their perception of the quality of their neighborhood; b) their perception of the involvement of San José State University in their neighborhood; and c) their political views.

## Methods Section

### Subjects:

Approximately 400 adult residents (one adult member per house) of the Five Wounds/ Brookwood Terrace neighborhood will be surveyed.

“Stratified systematic sampling” method will be used to identify houses to be surveyed. The student surveyors will knock on the front door of the house or ring the bell and request an adult member of the house to volunteer to answer the survey questions.

Subjects are expected to indirectly benefit from this study due to: general feeling of reward for being able to help with this research; and general feeling of reward for being able to advance the cause of their neighborhood.

There are no anticipated risks to the subjects.

Respondents will not be compensated in any way.

#### Materials and Devices:

Attached is the survey instrument that will be used to collect the data. The survey instrument consists of basic demographic questions, questions about respondents' perception of the quality of their neighborhood and their perception of the involvement of San José State University in their neighborhood, and their political views.

#### Procedures:

The students of Urban and Regional Planning (URBP) 204 A (Quantitative Methods I) class and Political Science (POLS) 107 (Politics and Public Opinion) will go out in the Five Wounds Brookwood Terrace neighborhood of City of San Jose' on one Saturday morning in October 2006 to conduct the survey. The students (approximately 60 in number) will be divided into teams of 2. Each team will be assigned a certain number of census block groups of the Five Wounds/ Brookwood Terrace neighborhood to survey. Using the "stratified systematic sampling" method, they will identify houses to survey. For example, if there are 200 single-family houses in a census block group then the team may decide to survey 10 houses (that is the "stratified" part of the "stratified systematic sampling" method). After this, the team will survey every 20<sup>th</sup> house so that at the end of the survey period they have surveyed 10 houses (that is the "systematic" part of the "stratified systematic sampling" method).

For every 20<sup>th</sup> house selected, the team will knock on the front door or ring the bell and request one adult member of the house to volunteer to answer the survey questions. The consent form will be read to the respondent and her/his signature will be obtained. The student investigator will also sign and date the form. Only after the subject has given her/ his written consent will the survey be conducted.

#### Confidentiality:

No personally identifiable information (like the name of the respondent, address of the house) will be collected through the use of survey or field observation. Any surveys that might have inadvertently included names or other identifying information will be immediately destroyed. Once the survey data has been input into an electronic database, the original survey forms will be destroyed along with any information linking the electronic data with the original survey.

#### Consent Form:

A consent form is included on SJSU letterhead.

#### Data Collection Instrument:

See attached survey instrument.

# **CONSENT FORM**



## Agreement to Participate in Research

Responsible Investigators: Dr. Shishir Mathur and Dr. Melinda Jackson

Title of Protocol: Five Wounds/ Brookwood Terrace Neighborhood: Residents' Perception Survey

1. You have been asked to participate in the research study that aims at investigating: a) residents' perception of the quality of their neighborhood; and b) residents' political views.
2. You will be asked to take the attached survey.
3. Completing the survey involves no risk to you.
4. You and the other residents of the Five Wounds/ Brookwood Terrace neighborhood will benefit if this research is used by the City of San José and/or the San José State University to find ways to enhance the quality of life of your neighborhood.
5. Although the results of this study may be published, no information that could identify you will be included.
6. Questions about this research may be addressed to Dr. Shishir Mathur, 408-924-5875, or to Dr. Melinda Jackson at 408-924-5293. Complaints about the research may be presented to Mike Pogodzinski, Chairperson, San José State University Department of Urban and Regional Planning, 408-924-5421 or to James Brent, Chairperson, San Jose State University Political Science Department, 408-924-5572. Questions about research subject's rights or research-related injury may be presented to Pamela Stacks, Ph.D., Interim Associate Vice President, Graduate Studies and Research, at (408)-924-2480.
7. No service of any kind, to which you are otherwise entitled, will be lost or jeopardized if you choose to "not participate" in the study.
8. Your consent is being given voluntarily. You may refuse to participate in the survey. If you decide to participate in the survey, you are free to withdraw at any time without any negative effect on you relations with San Jose State University or with any other participating institutions or agencies.
9. You will receive a copy of this letter for your records.

Thank you for participating in this survey.

Sincerely,

Dr. Shishir Mathur

For

Dr. Shishir Mathur and Dr. Melinda Jackson

Address:

Dr. Shishir Mathur

Assistant Professor

Urban and Regional Planning Department

San Jose State University

San Jose, CA 95192-0185

Phone: 408-924-5875

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# **SURVEY INSTRUMENT**

Survey No. \_\_\_\_\_

Interviewer \_\_\_\_\_

Team No. \_\_\_\_\_

Date \_\_\_\_\_

Census Tract No. \_\_\_\_\_

Time \_\_\_\_\_

Block Group No. \_\_\_\_\_

Block No. \_\_\_\_\_

## Survey Questionnaire

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### 1. How long have you lived in this neighborhood?

- 1= Less than 2 years
- 2= 3 to 5 years
- 3= 6 to 10 years
- 4= More than 10 years
- 7= Can not choose/Refused

### 2. What is your age?

- 1= 18 to 34 years
- 2= 35 to 54 years
- 3= 55 to 74 years
- 4= 75 years or older
- 7 = Can not choose/Refused

### 3. How many children under 18 years old are there in your household?

- 0= 0 (please skip questions 4 to 8)
- 1= 1
- 2= 2
- 3= 3
- 4= 4 or more
- 7= Can not choose/Refused (please skip questions 4 to 8)

### 4. How many children go to elementary school?

- 0= None (skip question 5)
- 1= 1
- 2= 2
- 3= 3 or more
- 7= Can not choose/Refused (skip question 5)

### 5. Which elementary school do the children go to?

- 1= Anne Darling Elementary School
- 2= Olinder Elementary School
- 3= McKinley Elementary School
- 4= Other (please print) \_\_\_\_\_
- 7= Can not choose/Refused

**6. How many children go to middle school?**

0= None (skip question 7)

1= 1

2= 2

3= 3 or more

7= Can not choose/Refused (skip question 7)

**7. Which middle school do the children go to?**

1= Peter Barnett

2= J.W. Fair

3= Other (please print) \_\_\_\_\_

7= Can not choose/Refused

**8. How many children go to high school?**

0= None (skip question 9)

1= 1

2= 2

3= 3 or more

7= Can not choose/Refused (skip question 9)

**9. Which high school do the children go to?**

1= San Jose High Academy

2= Other (please print) \_\_\_\_\_

7= Can not choose/Refused

**10. How many adults, including yourself, are there in your household?**

1= 1

2= 2

3= 3

4= 4 or more

7= Can not choose/Refused

**11. Do you own or rent the place here where you live?**

1= Rent

2= Own/Bought

7= Can not choose/Refused

**12. What is your education level?**

1= Never attended school or only attended kindergarten

2= Less than High school Graduate

3= High school graduate

4= Some College or associate degree

5= Bachelor's degree or higher

7= Can not choose/Refused

**13. What race or ethnicity do you consider yourself?**

[Allow multiple categories only if respondent asks]

1 = White, Caucasian, or European

2 = Hispanic, Mexican-American, or Latino

3 = Portugese

4 = Asian [if yes, ask follow-up: 41- 43]

41= East Asian

42= South Asian

43= Pacific Islander

43= Middle Eastern?

5 = Black or African American

6 = Other: (fill in) \_\_\_\_\_

7 = Can not choose/Refused

**14. How important is your race or ethnic group to your sense of who you are? Would you say that it is:**

1 = Not at all important

2 = Slightly important

3 = Somewhat important

4 = Very important

5 = Extremely important

7 = Can not choose/Refused

**15. Were you born in the U.S. or another country?**

1 = U.S.

2 = Other country [ask follow-up: 21]

21= What country were you born in? (fill in) \_\_\_\_\_

7 = Can not choose/Refused

**16. Generally speaking, how would you rate your neighborhood as a place to live?**

1= Excellent

2= Good

3= Average

4= Poor

5= Very poor

7= Can not choose/Refused

**17. Would you say that your neighborhood has gotten better or worse compared to the same time last year?**

1= Much better

2= Somewhat better

3= The same

4= Somewhat worse

5= Much worse

7= Can not choose/Refused

**18. Would you say that the street lighting at night in your neighborhood is:**

1= Very good

2= Good

3= Fair

4= Poor

7= Can not choose/Refused

**19. Do you think that on-street parking in your immediate neighborhood (within 4 blocks of here) is:**

0= Always Inadequate

1= Always Adequate

2= Inadequate DURING THE DAY

3= Inadequate AT NIGHT

7 = Can not choose/ Refused

**20. If you think that the on-street parking in your immediate neighborhood is inadequate, what do you think are the reasons? (please choose as many as you think apply)**

1= Too many people in the neighborhood who need to park

2= Too many abandoned cars taking up on-street parking

3= Outsiders parking their cars in the neighborhood

4= Any other reasons (please print) \_\_\_\_\_

7= Can not choose/Refused

**21. Do you have Internet access here at home?**

1= Yes

2= No

7= Can not choose/Refused

**22. Do you use email?**

1= Yes

2= No

7= Can not choose/Refused

**23. Apart from us/me conducting the interview today, have you noticed any other students or personnel affiliated with San José State University working or helping out in your neighborhood?**

1= Yes

2= No

7= Can not choose/Refused

**Finally, as you may know, there is an election coming up on November 7<sup>th</sup> for candidates for local, state, and national office. We'd like to ask you just a few questions about your political opinions.**

**24. If the election for California governor were held today, would you vote for:**

1 = Arnold Schwarzenegger, the Republican

2 = Phil Angelides, the Democrat

3 = Don't know/Undecided

4 = Other: \_\_\_\_\_

7 = Can not choose/ Refused

**25. If the election for San José mayor were held today, would you vote for:**

1 = Cindy Chavez

2 = Chuck Reed

3 = Don't know/Undecided

4 = Other; \_\_\_\_\_

7 = Can not choose/ Refused

**26. If the election for San José City Council District 3 were held today, would you vote for:**

- 1 = Sam Liccardo
- 2 = Manny Diaz
- 3 = Don't know/Undecided
- 4 = Other: \_\_\_\_\_
- 7 = Can not choose/ Refused

**27. As you know, many people are so busy these days they can not find time to register to vote, or they move around so often they do not get a chance to re-register. Are you now registered to vote in your precinct, or haven't you been able to register for one reason or another?**

- 1 = Yes, registered
- 2 = No, not registered (skip Q28)
- 3 = Not sure/don't know
- 7 = Can not choose/ Refused

**28. In what party are you registered to vote?**

[If respondent says "independent" ASK: do you mean you're registered in the American Independent party, or that you're not registered in any party?]

- 1 = Democrat
- 2 = Republican
- 3 = Independent (i.e., decline to state)
- 4 = Libertarian
- 5 = Peace & Freedom
- 6 = Green Party
- 7 = Other (including American Independent)
- 8 = Don't know
- 9 = Can not choose/ Refused

**Thank you for your cooperation in completing this survey.**

The following questions should be answered by the interviewer based on observation.

**29. Housing type:**

- 1= Single Family
- 2= Duplex
- 3= Multi-Family (3 to 9 units)
- 4= Multi-Family (10 or more units)
- 5= Residential hotel, rooming or boardinghouse
- 6= Mobile home or trailer
- 7= Other

**30. Sex**

- 1= Male
  - 2= Female
-