THE HUMAN RESEARCH AND REVIEW COMMITTEE

INFORMATION AND APPLICATION

HRRC
C/o CIIS 1453 Mission Street
San Francisco, CA 94110

REVISED SPRING 2005
Dear Student:

One of the most important elements of a research project is ensuring that the rights and the well-being of research participants are respected and protected to the best of the researcher’s ability. The Human Research Review Committee (HRRC) is charged with monitoring the safety and the well-being of all human participants involved in research activities and fulfills this obligation by its review of research proposals.

This review is done to ensure that the research conforms to the principles of ethical research articulated by the various professional organizations, including the American Psychological Association and the American Anthropological Association, and by the Department of Health and Human Services. HRRC is concerned with protecting participants from physical, psychological, and social harm, and with protecting their rights to privacy and informed consent. The protection of research participants is a responsibility of the researcher.

If your class project, thesis, or dissertation proposal involves human subjects, you must submit an application for review and approval to HRRC. You may not begin any of your research involving human participants – including piloting and fieldwork – until the research proposal has been approved by the Committee and you have received the Committee’s letter of approval. Failure to obtain HRRC approval before proceeding with data collection or treatment of participants is sufficiently serious to warrant disciplinary action.

The attached materials will assist you in the preparation and submission of your application for HRRC review. If you have questions regarding the application process, please contact HRRC administrator Bob Duchmann by email: bduchmann@ciis.edu If you do not have email you may leave a detailed message at: 415 575-6114, though email will be more efficient.

Sincerely,

The Human Research and Review Committee
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**DEFINITIONS**

**Research** means a systematic investigation designed to develop or contribute to generalizeable knowledge. Pilot studies and screening tests are usually considered part of the “research.”

**Research** does not include, (a) instruction, (b) surveys for evaluating the performance of faculty, staff, and students, or other studies for institutional use only, (c) student course work or undergraduate honors theses, unless they are to be made available to the public or used by other researchers. Even when student work involving human subjects does not constitute research, faculty members who assign or supervise the work are responsible for educating their students to safeguard the well being of the subjects.

**Human Subject** means a living person about whom a researcher obtains, (a) data through “intervention” (for example, venipuncture or cognitive tests) or “interaction” (for example, interviews) with the person, or (b) identifiable private information (for example, observations or private records). A person may be a “human subject” when a researcher obtains data about the person from a third party as well as from the person directly.

**RESEARCH CATEGORIES**

Depending on the kind of research you will be undertaking, your study may require a “High Risk” review, a “Low Risk” review, or a “No Risk” Exempt Review. The categories of research and their corresponding levels of review are described below.

**“High Risk” Review:** Projects involving potential or actual high-risk to human participants require a full HRR committee review. Research that asks about illegal activities and research involving sensitive subject matter (e.g., sexuality) qualify for high risk review. An example of research requiring high risk review would be a project in which terminally ill patients are interviewed about their attitudes towards death. High Risk applications require that the HRRC members meet in person to review the application at one of the scheduled HRRC monthly meeting. High Risk application must be submitted to the HRRC by the first day of the month in which you are requesting a review. You will hear back from the HRRC by the end of that same month via the mail.

**“Low Risk” Review:** To qualify for a “Low Risk” Review, research must meet the criteria of one of the federally-defined categories of “minimal risk research.” Federal regulations allow Institutional Review Boards to expedite the review of categories of research as described in 45 CFR 46.110 and 21 CFR 56.110. With the exception of expedited review category number (1), the UC Davis IRB may review research categories 2-9 through the
expedited review procedure. In general, if the research does not fall into the high risk category, but is not exempt either, then it should be considered a low risk review.

“No Risk” or Exempt Review: This category only requires review by the Chair of the thesis or dissertation committee. At all times, faculty bear responsibility for the protection of human participants, for educating students about ethical issues and for ethical supervision of the work. If the ethical scope of the project is unclear, submit your request for an exempt status to the HRRC, by addressing the questions listed in the application. In general, research that does not involve human subjects in any way will qualify as exempt and no HRRC application is required. To qualify for Exempt Review, research must fall within one of the following three categories:

1. **Existing Data:** Research that uses existing data, documents, records, pathological or diagnostic specimens is exempt, if:
   - these sources are publicly available; or
   - in both the researcher's private data (including field notes) and in any published material, the information is recorded by the researcher in such a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

2. **Public Officials:** All research involving educational tests, survey or interview procedures, or public observations is exempt when the respondents are elected or appointed public officials or candidates for public office and are presenting in public settings. Managers and staff in public agencies are not considered “public officials” in most cases.

3. **Institutional Use:** Academic projects and internal projects done for instructional purposes or institutional use only – such as class assignments or surveys.

Other Categories that may Require HRRC Review

1. **Pilot work:** Pilot work may or may not require HRRC review. In general, any research that involves systematic sampling of subjects outside of your circle of professional colleagues requires advance HRRC approval. For example, asking a friend to review an instrument or run through an experiment in order to give you feedback, or asking your research assistants or a small group of students to take a set of measures to determine average time of completion, does not constitute a formal pilot study. On the other hand, going to a community college and asking students to complete a set of instruments in order to examine the psychometric properties of these scales would be considered pilot research and would require Committee review and approval. If you are not conducting a formal pilot study as defined above, you are still bound by the ethics of research and should include the necessary protection for human participants.

2. **Collaboration with other institutions.** If your research will be conducted at or in collaboration with another institution which has its own review process, you must still obtain
CIIS HRRC approval. If your research will be done at a nonacademic institution, such as a community mental health agency, along with your HRRC application, you must submit a letter of authorization from a responsible person (for example, the administrative director of the agency) in any outside research setting that will be used.

**WHAT IF MY RESEARCH TAKES LONGER THAN A YEAR TO COLLECT?**

**One Year Extensions:** Federal regulations require at least *annual review of all human research*. If data collection will extend beyond one year, a request for a one year extension must be submitted. It is the researcher’s responsibility to be aware of the date and to initiate the renewal in time for approval before the expiration. If there are no changes to the research, then the student only need to submit an extension request letter in writing that states no changes to the research have or will occur and the reason for the extension request. If changes have or will occur to the research however, the renewal request must include the following information together with a copy of the previous HRRC approval letter:

- Any changes to the research must be clearly stated and then addressed by answering any of the 11 HRRC application questions from the original application that may apply.
- The numbers of participants who were involved since the last annual approval.
- A summary of the results to date.
- Any changes in anticipated risks or benefits.
- Any changes in procedures, methods, subject population, or setting since the last approval.
- Any problems that arose with participants, and how they were handled.

**THE REVIEW PROCESS ~ HOW LONG WILL IT TAKE TO REVIEW MY APPLICATION?**

You should allow a minimum of 6 weeks for the HRRC review process to be completed. The first phase of all review categories takes 4 weeks from the date that the HRRC RECEIVED your completed application. Please note that incomplete documentation or insufficient copies or the application will cause this process to take longer. Once your HRRC application has been reviewed, a letter will be mailed to you stating the status of your application (approved; revisions due; or resubmit). If revisions are due, you will need to address each item the HRRC requires and mail in your responses. You need submit only one copy of these revisions. Once revisions are received, an additional two weeks will be required before the HRRC mails the results of your revision review.
**WHEN TO SUBMIT YOUR APPLICATION**

*“High Risk” Review:* 6 copies (including 6 copies of the signed cover sheet) of the HRRC application must be submitted no later than the 1st day of any given month in which you desire a review. Applications submitted after the first day of the month will be deferred to the following month’s review meeting. Please note that the HRRC does not meet in July or August.

*“Low Risk” Review:* 3 copies (including 3 copies of the signed cover sheet) of the application can be submitted at any time as there are no deadlines for this category. Low risk reviews are processed separately by two members of the HRRC and are not presented at the monthly HRRC meeting.

*“No Risk” Exempt Review:* This category is processed by the HRRC chair person, and takes a minimum of 4 weeks for a response to be mailed to the student. 2 copies are required of the application and a letter describing the reasons that an exempt review is warranted.

**WHERE TO SUBMIT YOUR APPLICATION**

All applications can be hand-delivered directly to the mailbox marked “Human Research Review Committee located in the Staff/Faculty mailbox area on the 4th floor of the 1453 Mission Street building or you can mail your application to HRRC, c/o CIIS 1453 Mission Street, San Francisco, CA 94103.

**WHEN THE REVIEW IS COMPLETE**

Once a proposal is reviewed by committee, you will be notified via the mail that your proposal has been (a) approved; (b) approved with requested revisions; or (c) not approved:

- Approved proposals are in effect for one year. If research is not completed during that period, applicants must submit a renewal application. Once a proposal is approved, any significant change in design, methods, or sample must be approved by the HRRC in advance of data collection.
- Proposals requiring revisions must submit the requested changes to the HRRC and await final approval prior to beginning data collection. Only one copy of these revisions is required.
- Proposals not approved must re-submit a new application and re-enter the review process.
PREPARING YOUR APPLICATION

WHAT DO I NEED TO INCLUDE IN MY APPLICATION?

1. A written proposal. You will need to write a proposal which answers the 11 questions set forth in the Proposal Summary below. The number of copies you submit depends on the type of review you request:
   High Risk: 6 copies of the entire HRRC application which includes 6 copies of the signed cover sheet.
   Low Risk: 3 copies of the entire HRRC application which includes 3 copies of the signed cover sheet
   No Risk or Exempt: 2 copies of the entire HRRC application which includes 2 copies of the signed cover sheet

2. Cover Sheet – fully completed and signed. Submit the same number of copies of the cover sheet as required of the application. Be sure to clearly list your contact information including phone number.
3. Sample consent form
4. Sample interview or survey questions
5. Description of how and when data will be gathered, maintained, stored, and or disposed of. Failure to address this issue is one of the most common reasons that applications will require revisions.
6. When a referral path is offered, application must include name and credentials of this referral source. This is one of the most common reasons that applications will require revisions.
7. Authorization letter from any outside agency used as a source of subject population
HRRC COVER SHEET TO ACCOMPANY ALL APPLICATIONS AND COPIES
CALIFORNIA INSTITUTE OF INTEGRAL STUDIES
HUMAN RESEARCH REVIEW COMMITTEE APPLICATION

DATE RECEIVED BY THE HRRC:______________________(for official use only)

Student’s Last Name ___________________________ First Name __________________

________________________   (____) ___________________  ______________________________
CIIS Program       Student’s Telephone  Student’s E-mail

______________________________________  ______________________________
Student’s Street Address                                                   City

______________________________________     ______________________________
State            Country  Zip Code

Signature of Student                       Date this application was posted in mail

_______________________________ (___)___________  ___________________
Chair of Thesis/Dissertation Committee  Telephone  E-mail

Your signature as Thesis/Dissertation Chair indicates that you accept responsibility for the research described, and that you are fully aware of all procedures to be followed, will monitor the research, and will insure that the HRRC is notified of any significant problems or changes.

______________________________________     _______________________________
Signature Thesis/Dissertation Chair (required)  Date

Title of Research Project

REVIEW CATEGORY REQUESTED:

_____ High Risk (must be submitted by the 1st day of the month) (6 copies required)

_____ Low Risk (can be submitted at any time) (3 copies required)

_____ No Risk or EXEMPT (include reasons to justify this choice) (2 copies required)
HRRC APPLICATION

COMPLETE COVER SHEET INCLUDING PROPER SIGNATURES, AND FULLY ANSWER THE 11 QUESTIONS LISTED BELOW. BE SURE TO SUBMIT THE PROPER NUMBER OF COPIES OF YOUR COVER SHEET AND ANSWERS, AND OBSERVE THE DEADLINE FOR “HIGH RISK” REVIEWS. THE HRRC RESPONSE WILL BE SENT TO YOU VIA THE MAIL. WE DO NOT ACCEPT APPLICATION VIA EMAIL.

1. **Study, Aim, Background, and Design**
   Briefly describe the purpose of this study and relevant information that situates this research within a research paradigm (i.e. ethnography, phenomenology, etc.)

2. **Subject Population: Inclusion/Exclusion Criteria, Use of Special Subject Groups, and Methods of Access**
   Identify sampling and recruitment procedures used. Be sure to address/list subjects’: age, geographic location, number of subjects enrolled in this study, and cultural issues that may apply to subject populations.

3. **Briefly Describe Research Methods or Procedures to be Used for the Purposes of the Study**
   (example: interviews, surveys, participant observations, etc.)

4. **Risks: Potential Risks/Discomforts to Subjects and Methods of Minimizing these Risks:**
   Any risk to participants is of major concern to the committee. Please describe in detail any possible psychological or physical risk and methods to minimize them. Include discussion of means to insure confidentiality. If a referral source is indicated, your application must include the name and credentials of the appropriate professional referral.

5. **Benefits: Potential Direct Benefits to Subjects and General Benefits to Subject Groups, Academic or Professional Discipline and/or Society**
   Any benefit to participants is also of concern to the committee. Please detail any possible psychological or physical benefit. Benefit may include more than compensation for participating in the study. Note: Do not promise benefits that cannot be guaranteed.

6a. **Consent Process and Documentation**
   Include a discussion of how you will handle participant consent. Include a copy of your consent form. There are a number of types of consent. Your choice will depend on your particular project and methodology
   
   (i) **Written Consent.** Participants sign a form indicating that they have been informed about the research and their part in it and they have agreed to participate.
   
   (ii) **Negative Consent.** In rare instances it is acceptable for participants to sign only if they do not want to participate. Negative consent is permissible when risk is no more than minimal; rationale must be provided.
   
   (iii) **Assent.** Children of certain ages as well as certain adults may need a parent, guardian, or conservator to sign the formal consent form; but if they are capable of assenting to participation, they should be given the opportunity to assent (or decline) on an appropriately simplified form.
   
   (iv) **Statement of Oral Consent.** Certain populations may require special informed consent procedures. A statement of oral consent must include all the elements required for written consent. Please provide your oral statement and your rationale for requesting a waiver of written consent. Please explain how you will determine that the participant understands what has been said and agrees to participate (e.g., a tape-
recorded response, a consent form in the native language if a nonnative speaker, a witness present during the consent procedures).

(v) **Waiver of Signed Consent.** Federal regulations allow the HRRC to waive the requirement for the investigator to obtain a *signed* consent form if it finds either (a) that the only record linking participants and the research would be the consent document, and the principal risk would be potential harm resulting from a breach of confidentiality; or (b) that the research presents no more than minimal risk to participants and involves no procedures for which written consent is normally required outside of the research context. Thus, the HRRC will usually approve a request for waiver of signed consent in the following situations: (a) when the identities of participants will be completely anonymous if the consent form is not signed and there is minimal risk in the study; (b) when obtaining signed consent is not appropriate of feasible according to the cultural standards of the population being studied and the study involves minimal risk; (c) when there is a legal, social, or economic risk entailed in signing the consent form, e.g., for immigrants who might be identified as illegal, or for HIV antibody-positive individuals who might be identified as such. In some cases you may still be required to provide a written consent form, even if no signature is obtained.

**6b. Consent Criteria**

*Your project may or may not require a written consent form. The following information has to be presented in the written consent form, or where written consent is not required, it should be orally presented.* You must describe the project and the procedures in non-technical language appropriate to the (aural or reading) level of the participants. The following points must be clearly presented:

(i) participation is voluntary

(ii) participants have the right to refuse to answer particular question(s), as well as to discontinue participation at any time

(iii) if audiotape, videotape, or other types of recordings will be made, participants must be informed of this, along with where they will be stored and how long they will be kept or disposed

(iv) how confidentiality will be maintained, and how individual privacy will be maintained in published and written data resulting from the study; if the data are sensitive you must be specific about confidentiality procedures (e.g., questionnaires with all identifying information removed will be kept in the investigator's home in a locked file cabinet to which only she has the key, and the master list of names will be kept in a separate locked file cabinet)

(v) that there can be no guarantee of direct benefit

(vi) participants have received a copy of the consent form (for high-risk protocols a statement should also be included that says, “By signing below I acknowledge that I have received a copy of this consent form”)

(vii) what the risks and/or expected benefits are to participants

(viii) the consent form must have a signature and date line for all participants

(ix) the investigator’s name and telephone number if further information is sought by the participant
(x) if participants have any concerns or are dissatisfied at any time with any part of the study, they may report their concerns (anonymously, if they wish) to the Chair of the Human Research Review Committee, California Institute of Integral Studies, 1453 Mission Street, San Francisco, CA 94103, or by telephone at 415-575-6114 or via email to bduchmann@ciis.edu.

7. **Human Subjects Bill of Rights**
   The appendices in this Application include a “Bill of Rights for Participants in Research,” and an “Experimental Subjects Bill of Rights.” In all non-medical research, the rights in the Bill of rights for participants should be conveyed to participants in some way. Whether you give participants an actual copy of the Bill of Rights for Participants in Research is up to you, but it is your responsibility to see that these rights are protected. California law requires that the Experimental Subjects Bill of Rights be given to participants in research using any form of medical treatment, including psychotherapy, in a language in which they are fluent.

8. **Indicate if this study is being funded and identify the agency or sponsor.**

9. **Indicate if this study is being conducted at or under the supervision of another institution and include copies of their institution research board protocol, if applicable. Include a letter of authorization from agency administrative director with this application.**

10. **Complete the Cover Sheet: Principal investigator’s and faculty chair’s signature must be included with all applications.**
APPENDIX A: GENERAL ETHICS ISSUES

Confidentiality. It has become routine for investigators to promise that results will be held "in strictest confidence." Be aware, however, that California law makes such a promise impossible to keep in some research. In particular, if your data collection uncovers evidence of current child, dependent adult, or elder abuse, you may be required to determine whether abuse has occurred or is likely to occur and, if affirmative, to report this to the appropriate authorities. In certain settings (e.g., emergency medical clinics) this is also required where assault is suspected. In any of the above situations, you should discuss your suspicion as soon as possible with your dissertation chair or with the person in authority at the site where the research is being conducted in order to determine what action is required.

Participants may refuse to answer questions about issues such as the above (as they are entitled to refuse to answer any of your questions) but, in the name of protecting them, ethically you are not allowed to remind them of their right of refusal just at the point of asking legally sensitive questions. Similarly, participants may elect to remain anonymous (for instance, by giving a fictitious name), but ethically you are not allowed to suggest anonymous participation as a way of avoiding the reporting laws.

Extension of Tarasoff to research. Case and statutory law are currently silent on the potential extension of the Tarasoff decision to researchers. Appelbaum and Rosenbaum suggest in the June 1989 issue of American Psychologist that future decisions by the courts are likely to be guided by such factors as the similarity of training of researchers and therapists and the nature of the data collected (e.g., whether face-to-face interviews were done). It is essential in any case that investigators doing high-risk research-- such as asking questions about illegal drug use or violence-- alert their participants in the consent form as to possible breaches of confidentiality (e.g., subpoena, child abuse reporting laws).

Difficulties caused by confidentiality requirements. Since these legal and ethical constraints naturally discourage research on some important topics, the Department of Health and Human Services has certain cases granted confidentiality certificates, which allow qualified investigators to withhold names or other identifying information from participants' records from "any Federal, State, or local civil, criminal, administrative, legislative, or other proceedings.” It is not clear how realistic an alternative these certificates are for dissertation research.
Risk. Although most research at CIIS involves minimal physical risk, research in clinical areas such as psychotherapy, testing, social perception, or psychopathology does have the potential for causing participants significant anxiety or depression. For example, having them answer questions about marriage could lead to negative consequences, such as marital disharmony. Sometimes even filling out a questionnaire may draw attention to an area which participants had previously denied or repressed. Because such consequences would not have arisen except for your study, you are responsible for them to some degree. Your responsibility in this regard extends to making a referral to a licensed therapist who is available for prompt consultation with any participant who requests it during or after your study, without cost to the participant. Your responsibility does not extend to providing free psychotherapy on an unlimited basis. Usually one or two consultations suffice if such a need arises.

Vulnerability of special populations. Please be aware of the vulnerability of special populations. People with AIDS, for example, have in recent years been subject to a tremendous amount of psychosocial research in the Bay Area, and such protocols will be scrutinized very carefully for their scientific value.

Distinction between research and therapy. A common form of research, especially in fields like drama therapy, involves more or less unobtrusive observation as means of evaluating the effectiveness of a program. In such situations, when the investigative activities are not salient, it is easy for participants as well as the investigator to lose sight of the distinction between research and treatment. Benefits from research participation, for example, should not be confused with possible benefits from the program. In research such as this, be especially attentive to ways of allowing people to withdraw from the research while continuing participation in the program. For example, it might well happen that the withdrawal of one person from the research would be a major event in the group process, yet all references to that person, as well as appearances on tape, would have to be deleted. Be sure to explain in your application how such contingencies would be handled.

Discussing research participants in public places. All these elaborate precautions are quite useless, however, if--as is unfortunately not uncommon even for clinical cases--research participants are discussed, however discreetly, in public places such as restaurants. Even if names are changed and voices are kept low, any hint that research participants are discussed in public is very damaging to our credibility, and to the future of research. Note, finally, that if you are using research assistants, you are responsible for ensuring that they also protect the confidentiality of your participants and otherwise observe the ethical principles of research.
APPENDIX B: SAMPLE CONSENT FORM

The following is written in a thorough, detailed style and is appropriate for High-Risk Research

Marie Wong, a doctoral candidate at the California Institute of Integral Studies in San Francisco, is conducting a study on heterosexually identified women therapists' experiences of erotic countertransference with male patients, in both a cultural and personal context.

Participation involves a series of audiotaped interviews totaling about 3 hours. In the first part of the interviews, you will be invited to talk about a male patient with whom an erotic countertransference was both present and troublesome during some period of treatment. This should be a patient with whom you have since terminated treatment so that you have some overview of the various stages of the relationship. In the second part of the interviews, you will be asked specific questions of research interest. The third and last part of the interviews will give you and the researcher an opportunity to refine our understanding of the topic discussed and to talk about our mutual experience of the interview process. No prior preparation on your part is required for any part of the interviews.

Both the case report and the prepared interview questions may touch sensitive areas for some people; some discomfort may arise from discussing a situation that might have been both personally and professionally challenging. Some questions are aimed at elucidating the possible conflict between professional expectations and cultural training in gender roles. You will be free to refuse to answer any question or to end your participation in the study at any time. Marie Wong will be available before, during, or after the interviewing process to talk about your concerns, and to facilitate referrals to supervisors, consultants, or therapists if such a need should arise. She can be contacted at (415) 555-1234.

All information you contribute will be held in strict confidence within the limits of the law (see the attached confidentiality statement). The audiotapes and transcripts will be kept in a locked cabinet to which only Marie Wong has access. Tapes and transcripts will be identified by numbers only. You will be asked to refer to your patient by pseudonym or to refrain from naming him at all. All identifying data will be deleted when direct quotes are used in the dissertation. Access to the tapes will be limited to Marie Wong and the transcriber. The transcripts will be shared with you and possibly one additional co-researcher as a validity and reliability check on Marie Wong's analysis of the data. Neither
your name, your city, your agency, your training institute, nor any other identifying information will be included in the dissertation itself. Your request to omit from the dissertation particular details that you specify to the researcher will be honored. Marie Wong will also elicit from you other measures that you deem appropriate to further safeguard your confidentiality and that of your patient. All transcripts and/or audio/video tapes will be destroyed within five years of collection.

No direct benefit, either monetary or resulting from the experience itself, is offered or guaranteed. You may, however, find the process interesting and thought-provoking. The information you provide will benefit the understanding of women therapists' erotic countertransference with male patients, experiences shared by many women therapists but rarely discussed in the professional literature.

If you have any concerns or questions regarding your rights as a participant in this research, or if you feel that you have been placed at risk, you may report them--anonymously, if you wish--to the Chair, Human Research Review Committee, California Institute of Integral Studies, 1453 Mission Street, San Francisco, CA 94103, telephone (415) 575-6100.

I, __________________________, consent to participate in the study of female therapists' erotic countertransference experiences conducted by Marie Wong of the California Institute of Integral Studies. I have received a copy of this consent form and the Confidentiality Statement, and I understand that my confidentiality will be protected within the limits of the law.

_______________________________________________________
Signature     Date

If you would like to receive a written summary of the results of the study, please provide an address where it can be sent to you.

______________________________________________________________________
Street      City    Zip
APPENDIX C: SAMPLE CONFIDENTIALITY STATEMENT

Your privacy with respect to the information you disclose during participation in this study will be protected within the limits of the law. However, there are circumstances where a psychologist is required by law to reveal information, usually for the protection of a patient, research participant, or others. A report to the police department or to the appropriate protective agency is required in the following cases:

1. if, in the judgment of the psychologist, a patient or research participant becomes dangerous to himself or herself or others (or their property), and revealing the information is necessary to prevent the danger;
2. if there is suspected child abuse, in other words if a child under 16 has been a victim of a crime or neglect;
3. if there is suspected elder abuse, in other words if a woman or man age 60 or older has been victim of a crime or neglect.

If a report is required, the psychologist should discuss its contents and possible consequences with the patient or research participant.
APPENDIX D: BILL OF RIGHTS
(FOR PARTICIPANTS IN PSYCHOLOGICAL RESEARCH)

You have the right to...

• be treated with dignity and respect;
• be given a clear description of the purpose of the study and what is expected of you as a participant;
• be told of any benefits or risks to you that can be expected from participating in the study;
• know the research psychologist’s training and experience;
• ask any questions you may have about the study;
• decide to participate or not without any pressure from the researcher or his or her assistants;
• have your privacy protected within the limits of the law;
• refuse to answer any research question, refuse to participate in any part of the study, or withdraw from the study at any time without any negative effects to you;
• be given a description of the overall results of the study upon request.
• discuss any concerns or file a complaint about the study with the Human Research Review Committee, California Institute of Integral Studies, 1453 Mission Street, San Francisco, CA 94103.

For Individuals Who Participate In Medical Experiments

Persons who participate in a medical experiment are entitled to certain rights. These rights include but are not limited to the subject’s right to be informed of the nature and purpose of the experiment; be given an explanation of the procedures to be followed in the medical experiment and any drug or device to be utilized; be given a description of any attendant discomforts and risks reasonably to be expected; be given an explanation of any benefits to the subject, if applicable; be given a disclosure of any appropriate alternative, drugs, or devices that might be advantageous to the subject and their relative risks and benefits; be informed of the avenues of medical treatment, if any, available to the subject after the experiment if complications should arise; be given an opportunity to ask questions concerning the experiment or procedures involved; be instructed that consent to participate in the medical experiment may be withdrawn at any time and that the subject may discontinue participation without prejudice; be given a copy of the signed and dated consent form; and be given the opportunity to decide to consent or not to consent to a medical experiment without the intervention of any element of force, fraud, deceit, duress, coercion, or undue influence on the subject’s decision.
APPENDIX E: CHECK LIST USED BY HRRC TO EVALUATE APPLICATIONS

This Check List is for the HRRC applicants only and is intended to help you produce an accurate and complete proposal. Also, use this list as a final check that your proposal has covered these areas where applicable.

1. Study:
   _____ Describe more completely the aim of the study
   _____ Describe more completely the study design

2. Subject population:
   _____ Describe more completely the inclusion/exclusion criteria
   _____ Describe more completely the use of special subject groups, and the population’s country if other than USA.
   _____ Describe more completely the methods of accessing potential participants

3. Research methods or procedures:
   _____ Provide sample interview questions
   _____ Provide sample survey questions
   _____ Describe participant observational methods and procedures
   _____ Describe other interventions or procedures more completely

4. Risks:
   _____ Describe all potential risks more completely
   _____ Describe more completely all potential discomforts to subjects
   _____ Describe more completely the methods of minimizing risks
   _____ Describe more completely the potential risks involved with procedures or interventions used in study
   _____ Describe more completely the student researcher’s formal clinical skills
   _____ Indicate a specific licensed therapist referral name in case needed as a result of this study, other than the student researcher, and describe referral process

5. Benefits:
   _____ Describe more completely the potential direct benefits to subjects
   _____ Describe more completely the potential general benefits to subject groups
   _____ Describe more completely the potential benefits to academic discipline
   _____ Describe more completely the potential benefits to society
   _____ Modify language to indicate that any potential benefits from this study are not guaranteed

6. Consent process and documentation:
   _____ Include a sample detailed consent form that participants will sign or describe rationale for not using a written consent form
   _____ Indicate that participation is voluntary, that participants can refuse to participate in particular aspects of the study, and can discontinue participation at any time
   _____ Indicate how audio or video recordings will be used, stored, and eventually disposed within the study and the consent form
   _____ Indicate, by providing specific clerical, procedural, and security details, how confidential information will be maintained during all phases of the study.
   _____ Indicate how participant’s data will be maintained or disposed following completion of this study within the study description and consent form
   _____ Indicate how participants can anonymously report their concerns to the CIIS HRRC chairperson
   _____ Indicate how Human Subjects Bill of Rights will be presented to participants
   _____ Indicate how “Experimental Subjects Bill of Rights” will be presented to participants
   _____ Indicate how limits of confidentiality (Appendix D) information will be provided to participants where the high-risk consent form is required other than child abuse
   _____ Describe rationale for not using a written consent form
   _____ Describe in detail any alternatives to having the participants sign a written consent form (as with minors, individuals in institutions, individuals in preliterate cultures, etc.)
   _____ If not using a written consent form, explain how you will determine that participants understand all of what would be included in a written consent form
APPENDIX F: EXAMPLES OF THESIS/DISSERTATION RESEARCH METHODS AND TOPICS

The following examples are meant to assist students and committee chairs in determining the need to have student research reviewed by HRRC:

“No Risk” Exempt Review:
To be reviewed by the HRRC Committee: The single review exception is in research that does not involve human subjects in any way. If this is case, the student’s research chair may make this determination. All other cases must be reviewed by the HRRC.

A Pāli-to-English translation of Puggalapanniyati Atthakattha (Commentary on Human Types) Translation and commentary of a Buddhist text.

Nature and Application of Spiritual Care for the Dying: Perspectives from Mahayana Buddhism and The Western Hospice Tradition A dissertation focusing on the literature in the fields of hospice care, Mahayana Buddhism, and existential psychology.

The Psychological Dimension of the Spiritual Heart in the Mystical Poetry of Hafez A dissertation using the hermeneutic method to explain the spiritual transformation implicit in the Sufi mystical poetry of Hafez.

How Transpersonal Consciousness Can Evolve Value Systems of Responsibility to Reduce Ethnic- and Gender-based Violence A dissertation which analyzed data which has already been collected from Kosovar participants in three development program evaluations.

A Textual Analysis of Reported Changes in Consciousness Induced by Entheogens A dissertation which analyzed archival data that were legally recorded in clinical setting by Stanislav Grof at the Maryland Psychiatric Institute.

“Low Risk” Review:
To be reviewed by the HRRC Committee: The student’s research involves human subjects and requires an HRRC “low risk” review.

Stories of Forgiveness: Reweaving the Fabric of the Heart This research used “Organic Inquiry” as the research methodology. The research participants were chosen based on their having consciously committed themselves to a journey of forgiveness due to a specific incident of circumstance, on being well-known by the researcher, and living within a thirty-mile radius of the researcher’s home.

The Experience of Being Called and Following One’s Calling This research used a qualitative combined biographical-case study methodology. Subjects were contacted by the researcher because they were known by the researcher or they had in some way publicly self identified as appropriate for the research topic.

The Emerging Role of the Laity Within the Catholic Church – A Case Study The subjects interviewed, researched and evaluated consisted of initial participants and later recruits who participated or were continuing to be engaged in the implementing phases of planning process as determined by the Roman Catholic Diocese of Oakland, CA.

A Control Mastery Application to Treating Chronic Depressive Disorders Subjects were chosen from the researcher’s clinical case load with strict guidelines for eligibility and consent process.

Educating Soul Capacities: Empowering Waldorf Educators Through Transformative Learning This research used qualitative inquiry as the methodology. Subjects were selected from a group of teachers that were actively engaged in Waldorf Education at the current time of research.
“High Risk” Review:

To be reviewed by the entire HRRC Committee: The student’s research involves human subjects and requires an HRRC “high risk” review at one of the monthly HRRC meetings.

Effects of Touch Therapy on the Embodied Experience of Incest Survivors
The subjects were drawn from women volunteers who had been in psychotherapy for at least two years. They were self-identified and elected a course of touch therapy treatment during the course of their psychotherapy. Asking participants to speak about experiences which could trigger deep, painful emotional responses indicated that a regular review of the proposal was necessary.

Psychobiographical Antecedents of the Ecologically Conscious and the Environmentally Concerned
A multiple case study which employed interviews of the subjects, direct observations of subjects, and archival materials such as articles, diaries, letters, or photographs. The potential for triggering unconscious psychological material in the interviewees indicated a regular review of the proposal was necessary.

The Healing Power of the Curandero’s Songs or “Icaros”: A Phenomenological Study
The dissertation interviews individuals in ayahuasca circles about their healing experiences with the songs in the rituals. The interviews had the potential for triggering painful psychological material indicated a regular review of the proposal was necessary.

Suicidal Crisis and Life-threatening Illness – A Narrative Inquiry
Using face-to-face interviews, the dissertation explores psychological and emotional meanings as expressed through story-telling, about experiences and perspectives concerning suicidal crises within the context of life-threatening illnesses. Given the depth and difficulty of the subject matter, and the potential that participants could become overwhelmed or uncomfortable by way of various thoughts and emotions which could emerge at any time during the interview process indicated a regular review of the proposal was necessary.

Toward a Deeper Understanding of the Aspects of Long-Term Practice of Ceremonial Sexuality
The dissertation used face-to-face interview techniques and audio tape with practitioners of ceremonial sexuality to research the aspects and effects of long-term practice (minimum four years). As psychological issues around sexuality and intimacy could trigger deep emotions such as sadness or anger in the participant, a regular review of the proposal was necessary.