SAMPLE APPLICATION

Human Subjects Review Exemption Form

(Research must be “minimal risk” to qualify for exempt status. This means probability of discomfort or risk, anticipated in research is not greater than that ordinarily encountered in daily life or during routine tests. Risk can include physical or emotional harm, as well as loss of reputation or risk of financial harm.)

1. I believe that my research is exempt from human subjects review due to exemption # _2 (see Exemption from IRB Review list on p. 2).

2. I am interviewing and/or observing pregnant women, children under the age of 18, and/or prisoners. YES ____ NO __X__

3. I will be using deception (not giving subjects’ complete information or giving misleading information) to conduct my interviews. YES _____ NO __X__

4. I will be conducting experiments on the population that may have adverse physical, psycho/sociological, political and/or economic impact. YES ___ NO _X___

(If your answer to questions 2-4 is “Yes”, you are not eligible for exempt review and must complete the Tufts IRB Protocol Application and Cover Sheet (see Page 1)

If answers to questions 2 to 4 are “No”, please attach your “Research Description” (at least one page) that includes information on background, objectives, subject population and number, recruitment process, description of how research will be conducted, how confidentiality will be maintained (and if not, why it is not necessary), justification for exemption and why risk to participants is minimal, benefits to participants and to society (if any), conflicts of interest (if any) and explanation of where data will be stored (and if it is identifiable, whether identifiers will be stored with or separate from the data as well as when identifiers would be destroyed) and who will have access to it. Attach any questionnaires, interview instruments, recruitment documents, etc. that will be used.

An official “Written Consent Form” is not required for exempt studies. Just write a paragraph or two explaining the oral consent process. This “informed consent” statement should explain to participants in simple English the purpose of study, procedures, any repercussions and what they’ll have to do. It should explicitly state that participation is voluntary.

Is your study funded? Yes X__ NO __ (By the Program on Negotiation Summer Fellowship Program) If, yes, have you filed “Conflict of Interest Disclosure” form with the Vice Provost’s Office? ___Yes _No X_ Not applicable

Return this form to Jenifer Burckett-Picker (for faculty and PhD students) or to your faculty advisor (for MALD, MA, and GMAP students)

Date: 10/3/07 Your name: ___________________________ (typed) ___________________________ (signature)
Program: PhD ___X__ MALD ___ MA _____ GMAP ___ Faculty ____
Thesis/dissertation advisor: ___________________________ (typed) ___________________________ (signature)
Title of research: Free Trade History of U.S. and Chile
Research is for: Dissertation _X__ Thesis ____ Other (explain) ____________
__Approved: JBP Signature: ___________________________ Date ________
__Not Approved: reason/action to take ____________________________
Research Background

In the course of the next two years, I will conduct field research on the decision made by Chile to reject an offer made by the United States to sign a free trade agreement (henceforth FTA) in 2006. In terms of human subjects, my research will entail interviewing the most important actors that influenced the decision making process. In my case, this means current and former government officials, leaders of business associations and trade unions, and intellectuals.

There are several schools of thought about why countries adopt the trade policies they do. Some scholars argue that the decision to pursue a specific trade policy is taken at the national level assessing costs and benefits for a country as a whole. Other argue that trade policy decisions are the result of a domestic bargaining process, in which different groups push for the policy that better serves their interests. Even within those who believe trade policy to be a result of a domestic bargaining process, there is no agreement about what determines each group’s preferences: economic self-interest, social welfare, or ideology. My research will look at the hypotheses raised by all these theories in light of the recent Chilean experience and empirically assess the validity of these hypotheses.

Interview Questions

It is impossible at this stage to draft an exhaustive list of the questions I will ask my interviewees. I expect, in the course of my research, to learn about new dimensions that I may have overlooked and that I would want to inquire about. Nonetheless, as I conduct each interview, I will start by asking the following core questions:

- At what level do you think the decision about the FTA with the US was made?
- Which actors (either persons or institutions) do you think influenced the debate and the outcome?
- How do you assess the relative power of the different groups participating on the debate?
- Why did you (or your group) arrive to your position?
- What objective where you pursuing with your policy preference?
- On what elements did you base your analysis about the impact that the alternatives presented would have in your policy objective?
- How did you articulate your preference and try to influence the outcome?

Interview Questions-Spanish Version

- ¿En qué nivel cree que fue tomada la decisión respecto del TLC con Estados Unidos?
- ¿Qué actores (personas o instituciones) cree que influyeron en el debate y en el resultado?
- ¿Cómo evalúa el poder relativo de los distintos grupos que influyeron en el debate?
- ¿Cómo llegó usted, o el grupo al que representa, a su posición sobre el TLC?
- ¿Qué objetivo buscaba con su posición sobre el TLC?
- ¿En que basó su análisis acerca de cómo las distintas alternativas afectarian el objetivo buscado?
- ¿Cómo articuló esa preferencia y cómo trató de influir en el resultado?

Interview Pool
As mentioned before, I will be interviewing the most important actors that influenced the decision making process about the FTA in Chile. This interview pool will include between 30 and 50 subjects and is likely to include:

- Current government officials
- Former government officials
- Leaders of business associations and other private sector interest groups
- Leaders of trade unions
- Scholars and intellectuals
- Journalists

These individuals will be contacted through my own existing personal contacts in all the six groups mentioned above. I will also employ the “snowball” technique (asking interviewees for new references) to identify and recruit interviews I haven’t identified yet in my comprehensive press review.

**Conditions for Exemption**

I have read in detail the conditions under which I can obtain exemption from IRB review, and I am confident that both my research agenda and pool of interviewees fulfills the conditions for exemption.

This is the case because although the subjects will be identified (unless otherwise required by the interviewee) the disclosure of the information obtained in the interview would not place the subject at risk of criminal or civil liability or be damaging to financial standing, employability, or reputation (Exemption #2).

In this sense, it is important to detail the conditions that I will undertake in my research to guarantee the principle of respect for the subjects, beneficence, and justice. First, my research will follow a protocol that will guarantee that the subjects suffer no harm by entering the research voluntary and with adequate information. Moreover, whenever the subjects request confidentiality (very unlikely, as most have publicly articulated their positions), I will clearly offer, in the consent process, to identify them in general terms such as, for example, “a high ranking trade union leader” (the specific form of the oral consent is outlined bellow). Also in terms of confidentiality, I will store the records of these conversations in a safe place where I will have exclusive access.

Secondly, while the subjects will not derive any specific material benefit from their contribution to the research, they will not only benefit from having their point of view heard, but also from contributing to the generation of knowledge in an area that is of their interest.

**Oral Consent**

*My name is Francisca Salinas. I am a PhD student at The Fletcher School at Tufts University and I am conducting research for my dissertation on the reasons that drove Chile’s decision to reject an offer made by the United States to sign a free trade agreement (henceforth FTA) in 2006. I am writing my dissertation with a theoretical focus, and I am looking to see what theoretical insights can be drawn from Chile’s experience looked at in comparative perspective.*
I would like to interview you about your and your groups’ participation in the process, as well as about your opinion on the whole process. The interview will be open-ended and can last as long as you wish. I will now give you 15 minutes to decide if you want to participate.

- Do you agree to be interviewed?
- Are you comfortable if I record this conversation?
- Are you comfortable with me using your name in any publications that result from this research?
- Would you rather remain anonymous?
- If so, how would you like for me to refer to you in written material?

Please feel free to ask me any questions you wish during the interview. If you have questions afterwards, you can contact me here (hand in business card).

Oral Consent-Spanish Version

Me llamo Francisca Salinas y soy estudiante de doctorado en The Fletcher School, en la universidad Tufts. Estoy llevando a cabo una investigación para mi tesis doctoral sobre las razones que llevaron a Chile a no aceptar la oferta hecha por Estados Unidos de concluir un tratado bilateral de libre comercio en 2006. Estoy escribiendo mi tesis con un foco teórico, y mi objetivo es ver que conclusiones teóricas pueden obtenerse de la experiencia uruguaya analizada en perspectiva comparada.

Me gustaría entrevistarlo acerca de su participación y de la del grupo al que pertenece en el proceso, así también como acerca de su visión del proceso en su conjunto. La entrevista no tendrá una duración preestablecida, y puede ser tan larga como usted quiera. Ahora le voy a dar 15 minutos para que evalúe si quiere participar.

- ¿Acepta ser entrevistado?
- ¿Está de acuerdo con que esta conversación sea grabada?
- ¿Está de acuerdo con que use su nombre en las publicaciones que pueden resultar de esta investigación?
- ¿Prefiere permanecer anónimo?
- Si es así, ¿cómo quiere que me refiera a usted por escrito?

Por favor, no dude en hacerme todas las preguntas que necesite durante la entrevista. Si tiene preguntas después de finalizada la entrevista, puede contactarme a través de cualquiera de estos medios.