**Memorandum**

**Office of** ................................................................................................

**Ref..**……………/..................................................**Date**..............................................................................

**Subject** HREC-SUT’s Submission form for exemption research as per SUT’s announcement

**To** Chair of Human Research Ethics Committee, Suranaree University of Technology

I (Name and status) .................................... of (Office/Faculty of affiliation) ................................ would like to submit a research proposal entitled “.............................................” for exemption research approval. I have submitted the following documents online to [https://ec.sut.ac.th](https://ec.sut.ac.th/) for your considerations. (Please select applicable documents).

Submission fee receipt

HREC-SUT’s submission form for Exemption Research with documents’ version and date specified.

Research proposal/activities with documents’ version and date specified.

Information Sheet and/or consent form, *if applicable*

Questionnaires/Case Record Form, *if applicable*

Permission letter from Director or a person responsible for the organization or a person in charge of the data, *if applicable*

Others, please specify ....................................................................................................

Thank you for your kind consideration.

|  |  |
| --- | --- |
| Signature……………………………….…………… | Signature …………………….………….… |
| (……………………………….…………) | (……………………………….……………) |
| Project Advisor (In case principal investigator is a student/resident)/Co-Investigator  Date............................................................... | Principal investigator  Date............................................................... |
| Signature……………………………….…………… | Signature …………………….………….… |
| (……………………………….…………) | (……………………………….……………) |
| Head of department  Date............................................................... | Head of research  Date............................................................... |
| Signature………………………………….……….......... | |
| (……………………………….…………………….) | |
| Dean of faculty | |

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**Submission Form for Exemption Research as per Suranaree University of Technology’s Announcement**

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| **Part 1: General Information of the Research Project** |

1. **Research project title** …………………………………………………………………………….
2. **Principal investigator with office of affiliation, cell phone number, and email address**

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1. **Co-investigator and office of affiliation**

………………………………………………………………………………………………………….

1. **Details of project/activities** Please mark “X” in the 🌕 Or □ That correspond to your study. If the answer “□ No” is marked in one or more items, the study is not a study in humans: there is no need to submit it to the Ethics Committee. However, if the answer “Yes 🌕” is marked in both items, the study must be submitted to the Ethics Committee: please completely answer both Part 2 and Part 3.

|  |  |  |
| --- | --- | --- |
| **Is this a research study?** Researchis defined as a study that systematically searches or collects information to test a hypothesis or create new knowledge. | Yes | No |
| **Is this a study in humans?**  A study in humans is defined as a study that involves individual persons as research participants, collects personal information, or collects human biological specimens. | Yes | No |

**Note**: Examples of studies not considered as research in humans are systematic reviews, meta-analyses, review articles, computer or mobile applications in the development phase not yet intended to be used in humans, etc. These studies need not be submitted for the Ethics Committee’s consideration. If you would like the Ethics Committee to issue a certificate that your study is not a study in humans, please make your request in writing to the Chair of Human Ethics Committee.

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| **Part 2: To which category is the research study applicable according to Announcement?**  **(The announcement is available at** [https://ec.sut.ac.th](https://ec.sut.ac.th/)**).  Please respond to relevant categories only.** |

**Please choose the exemption research category that is relevant to your study by marking X in** ⚪and give complete details. You can choose only one category.

|  |  |
| --- | --- |
| Announcement Number 6.1 Education Research | Yes **(Answer questions in Part 2, Item 1)** |
| Announcement Number 6.2 Research that only includes interactions involving educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior | Yes **(Answer questions in Part 2, Item 2)** |
| Announcement Number 6.3 Research involving benign behavioral interventions | Yes **(Answer questions in Part 2, Item 3)** |
| Announcement Number 6.4 Research that uses identifiable private information or identifiable biospecimens for which consent is not required | Yes **(Answer questions in Part 2, Item 4)** |
| Announcement Number 6.5 Research or demonstration project carried out or supported by government agencies, organizations assigned by the government, or sub agencies assigned by the aforementioned agencies in order to seek new ways to change an organization or to efficiently develop a work system | Yes **(Answer questions in Part 2, Item 5)** |
| Announcement Number 6.6 Research related to tastes, food quality, and consumers’ satisfaction | Yes **(Answer questions in Part 2, Item 6)** |
| Announcement Number 6.7 Research that uses isolated organisms, cell lines, bone, or skeleton, extracted teeth, cadavers, contaminants, chemicals, or biological substances | Yes **(Answer questions in Part 2, Item 7)** |

**(Note: Research in prisoners or inmates cannot be submitted for exemption consideration. This type of research must be submitted for full-board consideration.**

**Please answer the questions that are relevant to the item that you have chosen above.**

**If your answer is “⬜ No” to one or more questions, your study is not considered as exemption research.**

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| **Part 2 Item 1 Referring to Announcement Number 6.1 Education research (Answer all of the questions below except those labeled “If applicable “).**  **Please mark X in** ⚪ **or** ⬜ **that is relevant to your study.** | | |
| Is the research study conducted in an institution or commonly accepted educational settings? | Yes | No |
| Does the research study involve standard educational practices? | Yes | No |
| Does the research procedure cause opportunity loss from learning the course contents and receiving course evaluation? (An example of research studies that cause opportunity loss from learning course contents and receiving course evaluation is a study that divides students into an experimental group and controlled group). | Yes | No |
| Is the research conducted to analyze effects of new strategies in education according to the institution’s policy? (For example, research to study effects of adjusted teaching method that will be used with all students in the same course, according to the institution’s policy) (If applicable) | Yes | No |

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| --- | --- | --- |
| **Part 2 Item 2 Referring to Announcement Number 6.2 Research that only includes interactions involving educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior (Answer every question below except those labeled with “If applicable “)**  **Please mark X in** ⚪ **or** ⬜ **that is relevant to your study.** | | |
| **More than one choice can be made.**  Applied research using educational tests that are cognitive, diagnostic, aptitude, or achievement.  Research surveying opinions in general  Interviews with quantitative research interview questions (not in-depth interviews or focus group discussions)  Behavioral observations in public (including recording pictures or voices) | | |
| **There is no** collection of data that can directly identify the subjects (name, last name, address, citizen/government employee ID number, medical record, etc.), or indirectly (encoded information that can be traced to the subjects). (Note: collection of data that are traceable to the subjects is not qualified for exemption consideration) | Yes | No |
| **There is no** research procedure or result that put the subjects or anybody at risk of being prosecuted for criminal or civil cases. | Yes | No |
| **There is no** research procedureor result that affect the subjects’ or anybody’s economic status. | Yes | No |
| **There is no** research procedure or result that causes the subjects or anybody to lose an opportunity for further education, employment, or to be dishonored. | Yes | No |
| **There is no** collection of data relating to behavior or sexual attitudes. | Yes | No |
| **There is no** collection of data relating to alcoholic or illicit drug consumption. | Yes | No |
| **There is no** collection of data relating to moral or legal violations. | Yes | No |
| **There is no** collection of data relating to mental illness or contagious diseases that are not socially accepted such as HIV, AIDS, or tuberculosis. | Yes | No |
| In case of research involving child behavior observations in public, there **will not** be any other data collection from the subjects except for observation of normal behavior in child subjects only **and there will not be** collections of data that can identify the subjects (if applicable). | Yes | No |

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| **Part 2 Item 3 Referring to Announcement Number 6.3 Research that involve benign behavioral intervention (brief in duration, harmless, painless, not physically invasive, not likely to have a significant adverse lasting impact on the subjects, and subjects will not find the interventions offensive or embarrassing) (answer all of the questions below except for those marked “if applicable”)**  **Please mark X in** ⚪ **or** ⬜ **that is relevant to your study.** | | |
| **More than one choice can be made.**  Collecting information from adults by verbal or written responses  Collecting information from adults by audiovisual recording  Research that uses tests that are brief in duration, harmless, painless, not physically invasive, not likely to have a significant adverse lasting impact on the subjects, and subjects will not find the interventions offensive or embarrassing | | |
| **There is no** collection of data that can directly identify the subjects (name, last name, address, citizen/government employee ID number, medical record, etc.), or indirectly (encoded information that can be traced to the subjects). (Note: collection of data that are traceable to the subjects is not qualified for exemption consideration) | Yes | No |
| **There is no** research procedure or result that put the subjects or anybody at risk of being prosecuted for criminal or civil cases. | Yes | No |
| **There is no** research procedureor result that affect the subjects’ or anybody’s economic status. | Yes | No |
| **There is no** research procedure or result that causes the subjects or anybody to lose an opportunity for further education, employment, or to be dishonored. | Yes | No |
| **There is no** concealment or deception of research objectives without the subjects’ knowledge or without agreement prior to joining the research. | Yes | No |

| **Part 2 Item 4 Referring to Announcement Number 6.4 Research that uses identifiable private information or identifiable biospecimens for which consent is not required.**  **Please mark X in** ⚪ **or** ⬜ **that is relevant to your study.** |
| --- |
| **More than one choice can be made.**  Research that uses data sets that are accessible to the public.  Research that uses biological specimens or data from biological specimens that are accessible to the public.  Data that may include encoded biological specimens that people in general cannot identify the owners of the specimens, or the researcher will not contact the specimens’ owners or will not attempt to identify the owners of the specimens.  Research that involves health data that are kept for public health services or kept for research on medical services for public interest (according to Ministry of Public Health announcement concerning personal health data protection and management BE 2561 Category 5 — Health records)  Research performed by government units or persons assigned by the government to use the government’s database kept for purposes other than research, and that observes the law regarding privacy of the owners of the data (according to BE 2562 Personal Data Protection Act, Division 24 (1) and Division 26 (5) (g)  Research that uses published data that are accessible to the public e.g., data published in online media, the used data must not violate other peoples’ rights and not in conflict with the BE 2560 Computer-related Crime Act |

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| **Part 2 Item 5 Referring to Announcement Number 6.5 Research or demonstration project carried out or supported by government agencies, organizations assigned by the government, or sub agencies assigned by the aforementioned agencies in order to seek new ways to change an organization or to efficiently develop a work system.**  **Please mark X in** ⚪ **or** ⬜ **that is relevant to your study** | | |
| Research or demonstration project carried out or supported by government agencies. Please specify an agency. …...….………………………………….  ……………………………………………………………………………………………………………  Research or demonstration projects carried out or supported by organizations assigned by the government. Please specify the organization. ……  …………………………………………………………………………………………………………………………………………………………………………………...  Research or demonstration project carried out or supported by sub agencies assigned by government agencies or by organizations assigned by the government. Please specify an agency. ….………………………………………………………………………………….…………………… | | |
| **There is no** use of personal datathat can identify a person. (Note: collection personal data that can identify a person is not considered for exemption consideration). | Yes | No |
| The research project **is not against** the law. | Yes | N*o* |

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| **Part 2 Item 6 Referring to Announcement Number 6.6 Research related to tastes, food quality, and consumers’ satisfaction.**  **Please mark X in** ⚪ **or** ⬜ **that is relevant to your study.** | | |
| **More than one choice can be made.**  Research related to taste or food quality.  Research related to consumers’ satisfaction | | |
| Research related to testing food that contains standard amounts of nutrients according to terms set by Office of Drug and Food Committee | Yes | No |
| The research **will do no harm** to the subjects. (Examples of research studies that are harmful include those that use containing chemicals or toxic substances that are harmful to humans). | Yes | No |
| The research does not do harm to animals or the environment. | Yes | No |

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| **Part 2 Item 7 Referring to Announcement Number 6.7 Research projects with the following characteristics.**  **Please mark X in** ⚪ **or** ⬜ **that is relevant to your study** | | |
| **⚪** Research project using Isolated microorganisms that are cultured in a laboratory that cannot be traced back to the owners  **⚪** Research project using cells cultured from human tissues that have been transformed into to cell lines  **⚪** Research studying bones, skeletons, extracted teeth, and cadavers  **⚪** Research studying contaminants, chemicals, germs, and biomaterials that is not performed directly on humans e.g. determination of contaminants in soil, or testing for microorganisms in food  The germs, cultured cells, skeletons, and teeth that are studied must not contain characteristics that can be used to identify the owners of the data or can be traced back to the owners of the data or genetic data. Research in cadavers must respect the honor and prestige of the donor. Presentation of summary of research results must not identify or be traced back to the owners of the data. | | |
| Data collection or presentation **cannot** identify the owners of the data or genetic data. | Yes | No |

**5. What method is used in recruiting potential research subjects?**

|  |  |
| --- | --- |
|  | **There is no** recruitment of potential subjects. |
|  | Potential research subjects **are recruited** by |
|  | asking for cooperation from the potential subjects’ attending physician  posters, please state where the posters will be posted……………………………………………………  (*Note*: Please submit the poster for the ethics committee’s consideration).  Advertisement in prints or radio, please give details ……………….…………………………….…….…  (*Note*: Please submit the advertisement message or content for the ethics committee’s consideration).  Advertisement via online social media or other chat applications where measures are put in place to prevent adding inducing statements or any modification of the messages initially approved by the ethics committee, during the process of online sharing. Please give details…...  ……………………………………………………………………………………………………………………………………………………………  Others, please give details ……………………………………………………………………………………………………… |

**6. Are monetary compensations or rewards given for subjects’ time and travel expenses?**

|  |  |
| --- | --- |
|  | No |
|  | Yes  Monetary compensation, please indicate number of payments ………., and amount of each payment ……………………. baht  Rewards or gifts, please give details.………………………………………………………………………… |

**7. The process of obtaining subjects’ consent**

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|  | **Waiver of informed consent** as this is a study of existing data or biological specimens without further prospective data collection from or direct interactions with the subjects |
|  | **Verbal consent** asboth of the following conditions is present (Please attach the Information Sheet).   1. The research involves no more than minimal risk to the subjects (no greater than those encountered in daily life) and does not involve procedures for which written consent is normally required (e.g., diagnostic procedures, treatment procedures). Please give details and reasons……………………………………………………………………………………………………. 2. Signing the informed consent form is the only information that links the identity of the subjects with the research study, and the major risk to the subjects is danger due to having their identity revealed through data breach.   Please give details and reasons…………………………………………………………………………………… |
|  | **Implied consent by action**, that is, anonymously completing a self-response questionnaire and returning the questionnaire to the researcher |

**8. Explain the process of asking for consent from the subjects, if applicable.**

8.1 Who asks for consent from the subjects?.......................................................

(Note: The person who asks for consent should be a person who does not have influence over the subjects as to unduly induce the subjects to comply, e.g., doctors should not ask for consent from their patients nor should teachers ask for consent from their students).

8.2 When are the subjects asked for consent?........................................................

(Note: Specify the period of time or situation in which the researcher asks for consent. Ample opportunity and time must be allowed for the subjects to study the information regarding participation in the research and are allowed to ask any questions they may have regarding participation).

8.3 Where does the consent take place?.............................................................

(Note**:** Clearly specify the place where consent is asked — the place must provide privacy and keep confidentiality of the subjects as well as convenience for the subjects to ask questions about the research and understand the process of becoming a participant in the study).

**9. What methods does the researcher use to carefully keep the subjects’ confidentiality and remove linkage to the patients or owners of data both while conducting research and publication. Please give details.** ……………………………………………………………………………………………………………………………………………………..…

**10. Is this a multicenter study?**

|  |  |
| --- | --- |
|  | No |
|  | Yes, please specify.  Name of a main organization responsible for the research study………………………………………………….  …………………………………………………………………………………………………………………………………………………………….  Name of the principal investigator from the main organization responsible for the research study ……………………………………………………………………………………………………..………………………………………..…  Name of all participating organizations   1. …………………………………………..………….. 2. …………………………………………..………….. 3. …………………………………………..………….. |

**11. Sponsors**

**Please specify the source of budget for this study**

|  |  |
| --- | --- |
|  | Researcher’s private fund |
|  | Suranaree University of Technology funds, please give details.…… |
|  | External source of governmental funds, please give details ……………………………………….…………….… |
|  | External source of funds from NGOs, please give details ……………………………………………………………… |
|  | External source of funds from private companies, please give details………………………………………… |

**12. Researchers’ conflict of interest**

|  |  |
| --- | --- |
|  | The principal investigator AND co-investigators do not have a conflict of interest in this study. |
|  | The principal investigator OR co-investigator(s) do have a conflict of interest in this study. Please give details.   1. Name of investigator who has the conflict of interest…………………………………………………… 2. Characteristics of conflicts of interest   Holding shares of the sponsoring company, please give the number of shares held.  Holding copyright or patent of the drug or medical device used in the study.  Receiving a monthly salary of ..................................baht for consultancy from the sponsoring company  Being invited to be a lecturer at the company or receiving support to attend a conference abroad in the past year, please give details. .............................................  Others, please give details…………………………………………………………………………  How will the researcher handle the conflict of interest so that the well-being of subjects and accuracy of research data are not affected? Please specify ………………………………………………… |

**13. This research study will proceed only after approval from the ethics committee and** is expected to spana total period of………. year(s) ………. month(s)

|  |
| --- |
| **Part 3: Researcher’s Certification** |

In conducting this research, I certify that.

1. I have checked the correctness of all information submitted to the Ethics Committee for Human Research, Suranaree University of Technology by myself.
2. I will not start the research study until I receive the committee’s approval that my study is exemption research.
3. I have been informed that any change/improvement in the research protocol other than those submitted for this consideration will be reported in the form AF/01-11/02.0 (protocol amendment).
4. I will report the closing of the research project to the Human Research Ethics Committee, Suranaree University of Technology in the form AF/01-13/02.0 (closing report) when I finish the research project.

|  |  |
| --- | --- |
| Signature………………………………….……… | Signature ………………….…………… |
| (……………………………….…………) | (……………………………….……………) |
| Project Advisor  In case the principal investigator is a student/ /resident | Principal investigator |

Signature ……………………….………

(……………………………)

Co-investigator

Signature ……………………….………….…

(……………………………………)

Co-investigator

Signature ……………………….………….

(……………………………)

Co-investigator

**This protocol has been approved by the affiliated organization.**

Signature ………………………………….………….……………

(……………………………….……………)

Chair, School of …………………………

Signature ………………………………….………….……………

(……………………………….……………)

Head, research department

Signature ………………………………….………….……………

(……………………………….……………)

Dean, Institute of……………………………………….