



Originally Issued: September 6, 2016
Reviewed: January 2019
Revised: **October 13, 2020**

Application for Institutional Research Exemption

Type of Application: New Modification

Date form completed: IRB #: (# will be assigned by IRB)

Note: Research Exemption simply means that the research is exempt from a yearly continuing review process. It does not mean an informed consent is not necessary, as the research is still utilizing "a living individual about whom an investigator (whether professional or student) is conducting research: Obtains information or biospecimens through intervention or interaction with the individual, and uses, studies, or analyzes the information or biospecimens; or Obtains, uses, studies, analyzes, or generates identifiable private information or identifiable biospecimens.

Title of Research Proposal: (Please ensure the title matches your grant application forms if applicable)

Principal Investigator:

Investigator's Academic Rank and/or Title:

Department and College:

Sub-investigator's Name, Title, Department, and College or Affiliation:

List the duties of each research member and their qualifications to perform the assigned duties:

Source of funding. If no funding will be used, please indicate N/A:

List the institutions and sites where the research will be performed:

Select the type of exemption for this research:

Exempt 1: Research, conducted in established or commonly accepted educational settings, that specifically involves normal educational practices that are not likely to adversely impact students' opportunity to learn required educational content or the assessment of educators who provide instruction. This includes most research on regular and special education instructional strategies, and research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.



Originally Issued: September 6, 2016

Reviewed: January 2019

Revised: **October 13, 2020**

Exempt 2: Research that only includes interactions involving educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior (including visual or auditory recording) if at least one of the following criteria is met:

- Exempt 2(i)** The information obtained is recorded by the investigator in such a manner that the identity of the human subjects cannot readily be ascertained, directly or through identifiers linked to the subjects;
- Exempt 2(ii)** Any disclosure of the human subjects' responses outside the research would not reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, educational advancement, or reputation; or
- Exempt 2(iii)** The information obtained is recorded by the investigator in such a manner that the identity of the human subjects can readily be ascertained, directly or through identifiers linked to the subjects, and an IRB conducts a limited IRB review to make the determination required by §46.111(a)(7).

Exempt 3(i) Research involving benign behavioral interventions in conjunction with the collection of information from an adult subject through verbal or written responses (including data entry) or audiovisual recording if the subject prospectively agrees to the intervention and information collection and at least one of the following criteria is met:

- Exempt 3 (i)(A)** The information obtained is recorded by the investigator in such a manner that the identity of the human subjects cannot readily be ascertained, directly or through identifiers linked to the subjects;
- Exempt 3(i)(B)** Any disclosure of the human subjects' responses outside the research would not reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, educational advancement, or reputation; or
- Exempt 3(i)(C)** The information obtained is recorded by the investigator in such a manner that the identity of the human subjects can readily be ascertained, directly or through identifiers linked to the subjects, and an IRB conducts a limited IRB review to make the determination required by §46.111(a)(7).
- Exempt 3(ii)** For the purpose of this provision, benign behavioral interventions are brief in duration, harmless, painless, not physically invasive, not likely to have a significant adverse lasting impact on the subjects, and the investigator has no reason to think the subjects will find the interventions offensive or embarrassing. Provided all such criteria are met, examples of such benign behavioral interventions would include having the subjects play an online game, having them solve puzzles under various noise conditions, or having them decide how to allocate a nominal amount of received cash between themselves and someone else.
- Exempt 3(iii)** If the research involves deceiving the subjects regarding the nature or purposes of the research, this exemption is not applicable unless the subject authorizes the deception through a prospective agreement to participate in research in circumstances in which the subject is informed that he or she will be unaware of or misled regarding the nature or purposes of the research.



Originally Issued: September 6, 2016

Reviewed: January 2019

Revised: **October 13, 2020**

Exempt (4) Secondary research for which consent is not required: Secondary research uses of identifiable private information or identifiable biospecimens, if at least one of the following criteria is met:

- Exempt 4(i)** The identifiable private information or identifiable biospecimens are publicly available;
- Exempt 4(ii)** Information, which may include information about biospecimens, is recorded by the investigator in such a manner that the identity of the human subjects cannot readily be ascertained directly or through identifiers linked to the subjects, the investigator does not contact the subjects, and the investigator will not re-identify subjects;
- Exempt 4(iii)** The research involves only information collection and analysis involving the investigator's use of identifiable health information when that use is regulated under 45 CFR parts 160 and 164, subparts A and E, for the purposes of "health care operations" or "research" as those terms are defined at 45 CFR 164.501 or for "public health activities and purposes" as described under 45 CFR 164.512(b); or
- Exempt 4(iv)** The research is conducted by, or on behalf of, a Federal department or agency using government-generated or government-collected information obtained for nonresearch activities, if the research generates identifiable private information that is or will be maintained on information technology that is subject to and in compliance with section 208(b) of the E-Government Act of 2002, 44 U.S.C. 3501 note, if all of the identifiable private information collected, used, or generated as part of the activity will be maintained in systems of records subject to the Privacy Act of 1974, 5 U.S.C. 552a, and, if applicable, the information used in the research was collected subject to the Paperwork Reduction Act of 1995, 44 U.S.C. 3501 *et seq.*

Exempt 5 Research and demonstration projects that are conducted or supported by a Federal department or agency, or otherwise subject to the approval of department or agency heads (or the approval of the heads of bureaus or other subordinate agencies that have been delegated authority to conduct the research and demonstration projects), and that are designed to study, evaluate, improve, or otherwise examine public benefit or service programs, including procedures for obtaining benefits or services under those programs, possible changes in or alternatives to those programs or procedures, or possible changes in methods or levels of payment for benefits or services under those programs. Such projects include, but are not limited to, internal studies by Federal employees, and studies under contracts or consulting arrangements, cooperative agreements, or grants. Exempt projects also include waivers of otherwise mandatory requirements using authorities such as sections 1115 and 1115A of the Social Security Act, as amended.

- Exempt 5(i)** Each Federal department or agency conducting or supporting the research and demonstration projects must establish, on a publicly accessible Federal Web site or in such other manner as the department or agency head may determine, a list of the research and demonstration projects that the Federal department or agency conducts or supports under this provision. The research or demonstration project must be published on this list prior to commencing the research involving human subjects.



Originally Issued: September 6, 2016
Reviewed: January 2019
Revised: **October 13, 2020**

Exempt 6 Taste and food quality evaluation and consumer acceptance studies:

- Exempt 6(i)** If wholesome foods without additives are consumed, or
- Exempt 6(ii)** If a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

Exempt 7 Storage or maintenance for secondary research for which broad consent is required: Storage or maintenance of identifiable private information or identifiable biospecimens for potential secondary research use if an IRB conducts a limited IRB review and makes the determinations required by §46.111(a)(8).

Exempt 8 Secondary research for which broad consent is required: Research involving the use of identifiable private information or identifiable biospecimens for secondary research use, if the following criteria are met:

- Exempt 8(i)** Broad consent for the storage, maintenance, and secondary research use of the identifiable private information or identifiable biospecimens was obtained in accordance with §46.116(a)(1) through (4), (a)(6), and (d);
- Exempt 8(ii)** Documentation of informed consent or waiver of documentation of consent was obtained in accordance with §46.117;
- Exempt 8(iii)** An IRB conducts a limited IRB review and makes the determination required by §46.111(a)(7) and makes the determination that the research to be conducted is within the scope of the broad consent referenced in paragraph (d)(8)(i) of this section; and (iv) The investigator does not include returning individual research results to subjects as part of the study plan. This provision does not prevent an investigator from abiding by any legal requirements to return individual research results.

Please provide a brief summary of the purpose of this study.

Please summarize the procedures that will be followed, being sure to include data safety management.

Please provide a brief summary of how participants will be selected and recruited:



Originally Issued: September 6, 2016
Reviewed: January 2019
Revised: October 13, 2020

Describe the consent process (if applicable):

Note: For survey studies, submit a copy of any verbal recruitment scripts, recruitment email or cover letter. Provide a separate protocol (complete research proposal, thesis proposal, etc.) if one is available. Also, attach a copy of the survey instrument if applicable.

INVESTIGATOR'S CONTACT INFORMATION

Office Mailing Address:

Phone Number:

Fax Number:

E-Mail:

Research Assistant:

REQUIRED RESEARCH APPROVALS

Phone Number:

Is the research study being conducted outside of your institution? **Yes** **No**

If yes, attach a letter of support from that site.

If you are an undergraduate, graduate, or visiting professor, complete the information below on the responsible faculty and obtain his/her signature.

Responsible Faculty:

Mailing Address:

Phone Number:

Fax Number:

Type Name of Responsible Faculty:

X

Signature responsible Faculty listed above

The principal and sub-investigators understand that:

1. Exempt research under the regulations is human subject research that is deemed at no more than minimal risk and fits into one of six categories as designated on this application form.
2. Research that is deemed exempt according to the established criteria does not require continuing review by the IRB; however, the investigator must meet all institutional obligations in the conduct of the research.
3. Only the IRB may determine that a research study meets the criteria for an exempt status.
4. The IRB may require necessary modifications prior to granting an exempt status.



Originally Issued: September 6, 2016
Reviewed: January 2019
Revised: October 13, 2020

5. The investigator should consult the IRB for any changes in the study that may impact the required level of review.

Name of Principal Investigator:

X

Signature of Principal Investigator

Name of Sub-Investigator:

X

Signature of Sub-Investigator

Name of Sub-Investigator:

X

Signature of Sub-Investigator

Name of Sub-Investigator:

X

Signature of Sub-Investigator

Application reviewed by Provost/Vice President for Academic Affairs

X

Signature Provost/VPAA

- Approved
-
- Approved with the following required modifications.
- Denied

X

Signature, IRB Administrator

cc Provost/Vice President for Academic Affairs
Principal Investigator
IRB Committee Chair