

## Exempt Research Study Checklist – Application

**Note 1:** Advertising, recruiting subjects, mailing or distributing surveys, and the collection of data may begin **only** after this request for exemption has received IRB approval (allow 10 days for processing). The IRB may, upon review of this request, deny the request for an exemption and will give the proposed research an expedited or full review.

**Note 2:** A summary of the proposed research project, including a description of the participant population, age ranges, study location(s), methodology, study procedures, type of publicly available data, location of publicly available data, and instruments must be submitted to the IRB Director with this form.

Principal Investigator's Name: \_\_\_\_\_

Principal Investigator's UI&U ID #: \_\_\_\_\_

Principal Investigator's Degree Program: \_\_\_\_\_

Study Title: \_\_\_\_\_

**Basis of Claim for Exemption from IRB Review:** Federal regulations and/or Union Institute & University IRB policy require that in order for research to be exempt from IRB review at least one of the following blocks (1-4) **must** be checked.

**Note:** Limitations for exemptions for studies involving children: Exemptions cannot be granted for: (a) projects with children as subjects that involve interview or survey procedures or (b) research where public behavior is observed and the investigator participates or interacts with the children. These projects require expedited or full IRB review.

\_\_\_\_\_ 1. The research will be conducted only in established or commonly accepted educational settings (such as classrooms), **AND** it involves normal educational practices such as research on regular and special educational instructional strategies, or research on the effectiveness of, or the comparison among, instructional techniques, curricula, or classroom management methods.

\_\_\_\_\_ 2. The research involves the use of only the following techniques. Check the applicable technique(s):

\_\_\_\_\_ educational tests (cognitive, diagnostic, aptitude, achievement), or

\_\_\_\_\_ survey or interview procedures, or

\_\_\_\_\_ observing the public behavior of subjects,

**AND** (one of the following **must** be checked):

\_\_\_\_\_ the information obtained will be recorded in such a manner that subjects *cannot* be identified *directly or through identifiers linked to the subjects*, or

\_\_\_\_\_ if any disclosure of the subjects' responses outside the research could not reasonably place the subject at risk of criminal or civil liability, or be damaging to the subjects' financial standing, employability, or reputation (e.g., information regarding illegal or immoral conduct, drug or alcohol use,

sexual behavior, mental illness, or other information possibly personally embarrassing to subjects), or

\_\_\_\_\_ the subjects are elected officials or candidates for public office.

\_\_\_\_\_ 3. The research is limited to the collection or study of existing data, documents, records, pathological or diagnostic specimens under one of the following conditions: (one of the following **must** be checked):

\_\_\_\_\_ they are available to the public, or

\_\_\_\_\_ they are recorded by the investigator in such a manner that subjects *cannot* be identified, *directly or indirectly*, through identifiers linked with the subjects.

\_\_\_\_\_ 4. Another provision of 45 CFR 46.101(2). Please identify the subsection and describe in detail how the category applies to the proposed research.

**Statement of Risk:**

**The undersigned certify that they believe that the conduct of the above described research creates no risk of physical or emotional harm or social or legal embarrassment to any subject. Any modifications that (a) change the research in a substantial way, (b) might change the basis for exemption, or (c) might introduce any additional risk to subjects should be reported to the IRB Coordinator before they are implemented, in the form of a new claim for exemption or a proposal for expedited or full IRB review.**

\_\_\_\_\_  
Signature of Principal Investigator

\_\_\_\_\_  
Date

Electronic Signature

\_\_\_\_\_  
Signature of Faculty Advisor or Dissertation Chair

\_\_\_\_\_  
Date

Electronic Signature

**SEE NOTE 2 ON PAGE 1**

**Submit required study information for review in a separate Word document.  
Consent forms may be required for some exempt studies.**