

IRB EXEMPTION REVIEW

Research activities in which the only involvement of human subjects will be in one or more of the following categories is exempt from further IRB review. Exemption applies to research that is of minimal risk and with adults **except:**

Category A (below) – which also applies to children and

Category B (below) – which applies to children in two circumstances: 1) when the research involves the use of standardized educational tests and 2) when the research involves observation of public behavior when the investigator(s) do not participate in the activities being observed. (Survey and interview procedures do not apply to children.)

Final determination as to whether a research project is exempt from further review rests with the IRB. If the project is determined to be exempt by the IRB, the principal investigator is still required to submit any project modifications to the IRB as modification could change the status to non-exempt research.

RESEARCH CATEGORIES EXEMPT FROM FURTHER IRB REVIEW

- A. Research conducted in established or commonly accepted educational settings, involving normal education instruction practices, such as
 - 1) research on regular and special education instruction strategies; or
 - 2) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.
- B. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior, unless:
 - 1) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and
 - 2) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation.
- C. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), surveys procedures, interview procedures, or observation of public behavior that is not exempt under paragraph (B) of this section, if:
 - 1) the human subjects are elected or appointed officials or candidates for public office; or
 - 2) federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.
- D. Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens if:
 - 1) these sources are publicly available or
 - 2) the information is recorded by the investigator in such a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

Date Received in Office: _____

IRB #: _____

APPLICATION FOR EXEMPTION

The IRB retains final judgment as to whether a research study is exempt from further IRB review.

Note: Exempt status does not necessarily mean that the investigator is exempt from informed consent procedures.

Send two (2) copies (the original and a copy) to: Tina Pilgreen, Research Compliance Coordinator
Sponsored Programs, Library 324

Date:

Investigator Name(s):

Email:

Phone:

If Student(s), Research Advisor's Name:

Email:

Phone:

UCA Address (of Research Advisor if a student): Building:

Room #:

Department:

College:

Project Title:

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Anticipated dates of project: Beginning:

Ending:

FUNDING: Anticipated source of funds, if any, including UCA Research Funds. (If this project will be funded under a grant to another investigator, please give the title of the grant, name of agency or institution, and the investigator's name.)

RESEARCH CATEGORIES OF EXEMPTION FROM FURTHER IRB REVIEW

Research activities in which the only involvement of human subjects will be in one or more of the following categories are usually exempt from further IRB review. **Check all that apply to your research study.**

- A. Research conducted in established or commonly accepted educational settings, involving normal education instruction practices, such as
 - (1) research on regular and special education instruction strategies, or
 - (2) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.
- B. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior, **unless**:
 - (1) information obtained will be recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; **and**
 - (2) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subject's financial standing, employability, or reputation.
- C. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior that is not exempt under paragraph B.(2) of this section, **if**:
 - (1) the human subjects are elected or appointed officials or candidates for public office; or
 - (2) federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.
- D. Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, **if**:
 - (1) the sources are publicly available, or
 - (2) the information will be recorded by the investigator in such a manner that subjects **cannot** be identified, directly or through identifiers linked to the subjects.

Note: If you have checked B (1) and B (2) your research is not exempt from IRB review. You must apply for Expedited or Full IRB review.
ANSWER EACH QUESTION (1 – 9): (If you are using existing data, some questions may not apply: use N/A.)

1. Briefly, what is the purpose of your research (what do you want to learn from the project)?

2. What will be required of the subject(s)?

3. From where will you recruit the subject(s)?

4. How many subjects (or existing data records) will be needed for the project?

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*****5. What will be the approximate ages or age range of the subjects?

*****6. How will you inform subjects about the research project and procedures? Check one:

Informed Consent Cover Letter Informed Consent Agreement Not Applicable

*****7. Will you obtain any personal identifiers (name, SS#, etc.) from subjects? "*****NO "" YES

*******If YES:** List the identifiers and tell how they will be used.

*****Describe the steps to be taken to protect the privacy and/or confidentiality of subject's responses or to maintain " anonymity of the research records. (If privacy/confidentiality will not be maintained state this.)

******Note: If identifiers will be retained and used, you must explain this in the informed consent agreement and tell subjects how you will use their identifiers.*

*****8. Will you retain any subject demographic information (age, sex, year in school, etc.)? NO YES

*******If YES:** List them and tell how the demographics will be used.

*****9. Where will the research be conducted (where will you interact with subjects or obtain existing data)?

******Note: If not at UCA, in some circumstances you may need a signed permission letter, if so, attach a copy of the letter.*

ATTACHMENTS:

- questionnaire, survey, list of potential interview questions, etc. to be used with subjects
- consent agreement, cover letter, telephone introductory script
- permission to use existing data and/or permission from external institution (if applicable)

INVESTIGATOR AGREEMENT:

I verify that risks to subjects are minimal. I agree to ensure that the rights and welfare of human subjects in my research are properly protected.

I understand that modifications or changes in the procedures involving human subjects or any problems with the rights or welfare of the human subjects must be promptly reported to the Research Compliance Coordinator.

_____	_____
Signature of Investigator	Date
_____	_____
Signature of Investigator	Date
_____	_____
Signature of Investigator	Date
_____	_____
*Signature of Research Advisor (if student)	Date

***As Research Advisor**, I agree to be responsible for the ethical conduct of the research .

_____	_____
**Signature of Department Chair (I am aware IRB exemption review is being sought for human subject research.)	Date

**Note: For Honors College students, Rick Scott signs as Department Chair