

Exempt Research Checklist

Please answer the following questions to determine whether your study is human subjects research. If you are told "NOT to continue" under Criteria 1 or Criteria 2, you do not need to submit anything. If you are told that your study may qualify as "Exempt Research", please submit this completed Checklist along with the Exempt Research Form.

CRITERIA 1: RESEARCH

- ☐ I am collecting data, information or facts either directly or from a secondary source.
- ☐ I am systematically analyzing data.
- ☐ I will generalize my results beyond my sample
- ☐ I will present my results beyond my classroom or department.

Example 1: An undergraduate history major is asking his classmates what they thought about the final exam so that he can forward that information to his professor as feedback. [NOT RESEARCH]

Example 2: An undergraduate history major is asking other students at his university to fill out a survey regarding evaluation practices of a specific professor with the intention of presenting the results in the Presidential Academic Showcase competition. [YES, THIS IS RESEARCH.]

- If you did not check **ALL** of the boxes, you do NOT need to continue.  **STOP**
- If you checked **ALL** of the boxes, your study is defined as **RESEARCH**.

 (continue)

CRITERIA 2: HUMAN SUBJECTS

- ☐ I am analyzing identifiable information (or biospecimens) about living humans.
- ☐ I am collecting empirical data directly (including by phone/email/online) from humans.

Example 1: An undergraduate biology major is collecting seeds from the university garden and analyzing their genetic sequence. [NOT HUMAN SUBJECTS RESEARCH]

Example 2: An undergraduate biology major is collecting human DNA through tongue swabs from students and analyzing their genetic sequence. [YES, THIS IS HUMAN SUBJECT RESEARCH]

- If you checked **NONE** of the boxes, you do NOT need to continue.  **STOP**
- If you checked **ANY** of the boxes, your study includes **HUMAN SUBJECTS**.

 (continue)

CRITERIA 3: EXEMPT RESEARCH

Research may be considered exempt under any of the following three categories and universal requirements. Your research may fall under more than one exempt category. Please be thorough and check all boxes that apply.

Universal Requirements (check all boxes that apply)

- ☐ Research poses greater than minimal risk to subjects.
- ☐ Research involves prisoners, pregnant women, human fetuses, incapacitated individuals or other vulnerable populations.
- ☐ Research surveys or interviews minors (under the age of 18).
- ☐ Research includes observations of minors where I am a participant in the activity (such as a teacher conducting observations of her own students).

- If you checked **ANY** of the boxes, you will need to stop here and submit a full **IRB Application**.
- If you checked **NONE** of the boxes, your study may qualify as **EXEMPT Research**.

 (continue)

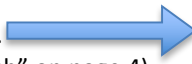
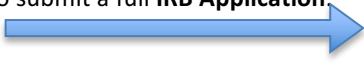
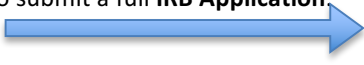
 **STOP**
Go to IRB Application

Category 1 – Educational Settings (check all boxes that apply)

- ☐ I am conducting research in established or commonly accepted educational settings, that specifically involves normal educational practices.
- ☐ My research is **UNLIKELY** to adversely impact students' opportunity to learn required educational content or the assessment of educators who provide instruction.

Example 1: A principal is observing teacher instructional methods and student engagement behaviors before and after a teacher training program focused on instructional differentiation. [YES, THIS QUALIFIES AS EXEMPT RESEARCH.]

Example 2: A teacher is observing her own elementary students' engagement behaviors before and after a teacher training program focused on instructional differentiation. [NOT EXEMPT RESEARCH because it does not meet the Universal Requirement regarding participants (i.e., teachers) who collect observation data on their own students.]

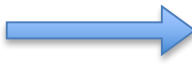
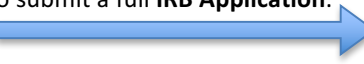
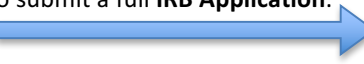
- If you checked **ALL** of the boxes, your study qualifies as **EXEMPT** Research.  **Go to Exempt Form**
Please skip to the Exempt Research Form (beginning with "Title of Research" on page 4).
- If you did not check **ALL** of the boxes, you will need to submit a full **IRB Application**.  **STOP**
Please stop here and refer to the **IRB APPLICATION**.  **Go to IRB Application**

Category 2 – Surveys, Interviews, Observations and Tests (check all boxes that apply)

- ☐ My research only includes interactions involving educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior (including visual or auditory recording).
- ☐ The information is **NOT** identifiable (the identity of the human subjects cannot readily be ascertained, directly or through identifiers linked to the subjects) **OR** if human subjects' responses are identifiable and disclosed, it will **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.

Example 1: A researcher is analyzing the correlation of PSAT mathematics scores of 10th grade students with their grades in their current math course. [YES, THIS QUALIFIES AS EXEMPT RESEARCH.]

Example 2: A researcher surveys teachers about their alcohol consumption to see if there is a relationship with the PSAT mathematics scores of their 10th grade students. [NOT EXEMPT RESEARCH because this information can put teachers at risk of criminal liability and damage their career advancement.]

- If you checked **ALL** of the boxes, your study qualifies as **EXEMPT** Research.  **Go to Exempt Form**
Please skip to the Exempt Research Form (beginning with "Title of Research" on page 4).
- If you did not check **ALL** of the boxes, you will need to submit a full **IRB Application**.  **STOP**
Please stop here and refer to the **IRB APPLICATION**.  **Go to IRB Application**

Category 3 – Benign Behavioral Interventions (check all boxes that apply)

- ☐ My research involves benign behavioral interventions in conjunction with the collection of information from an adult subject with their consent through verbal or written responses (including data entry) or audiovisual recording.
- ☐ The information is **NOT** identifiable (the identity of the human subjects cannot readily be ascertained, directly or through identifiers linked to the subjects) **OR** if human subjects' responses are identifiable and

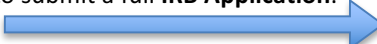
Appendix C: EXEMPT RESEARCH CHECKLIST & FORM



disclosed, it will **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.

Example 1: A psychology professor is measuring stress levels of doctoral students as they solve a difficult puzzle. [YES, THIS QUALIFIES AS EXEMPT RESEARCH.]

Example 2: A psychology professor is measuring stress levels of high school students as they solve a difficult puzzle. [NOT EXEMPT RESEARCH because intervention studies involving minors are not EXEMPT.]

- If you checked **ALL** of the boxes, your study qualifies as **EXEMPT** Research.  **Go to Exempt Form.**
- If you did not check **ALL** of the boxes, you will need to submit a full **IRB Application**. Please stop here and refer to the **IRB APPLICATION**.  **STOP**
Go to IRB Application

If your study qualifies as EXEMPT RESEARCH (per the checklist above), then:

- *the researchers are **NOT** required to submit a CITI Human Subjects Research Certificate (complete any required training within your school/department/program);*
- *signed consent forms are **NOT** required (but informed consent procedures are highly recommended);*
- *site authorization is **NOT** required by IRB, but each site may require their own authorization procedures;*
- *any research conducted at CUI or involving CUI students, faculty or staff must be approved by OIRA.*

Exempt Research Form

This form is used when you have determined by completing the Exempt Research Checklist that your study may qualify as exempt research. Please send this completed and signed form, along with the Exempt Research Checklist, electronically to irb@cui.edu using the following pdf file name format: <Last Name_First Name_Program/Department_IRB Exempt.pdf>. For example, <Kim_Eugene_EDD_IRB Exempt.pdf>

Title of Research Project:

Principal Investigator/Researcher

Name: _____ CUI E#: _____
 Department/Course: _____ Phone: _____
 CUI Email: _____ Alternate Email: _____

Principal Researcher's Status: (check one)

- ☐ CUI Student
☐ CUI Faculty
☐ CUI Staff
 ☐ CUI Adjunct Faculty
☐ Other (explain): _____

Researcher's Degree/Program Information (only respond if you are currently a student):

Institution: _____ Program & Degree: _____
 Supervisor Name: _____ Supervisor Email: _____
 Supervisor Title/Role: _____

Research Begin Date: _____ **Research End Date:** _____

Location(s) of the research: _____

Participants: (check all that apply)

- | | |
|---|---|
| ☐ Female / ☐ Male | ☐ Inmates |
| ☐ Child Development Center | ☐ Children with special needs |
| ☐ Children (17 or younger) | ☐ Patients in institutions |
| ☐ English Language Learners | ☐ Pregnant women |
| ☐ Adults competent to consent | ☐ Adults <u>not</u> competent to consent |
| ☐ CUI students | ☐ CUI Faculty/Staff |
| ☐ Athletes | ☐ Other, explain: _____ |

Purpose of this research is:

- | | |
|---|--|
| ☐ Graduate Thesis or Project | ☐ Independent Study |
| ☐ Doctoral Dissertation | ☐ Honors Project |
| ☐ Classroom Project | ☐ President's Academic Showcase |
| ☐ Other (please describe): _____ | |

Appendix C: EXEMPT RESEARCH CHECKLIST & FORM



Funding:

1. Are you seeking funding for this research? ☐No ☐Yes
2. Does the funding agency require IRB approval? ☐No ☐Yes
If yes, provide all relevant forms, instructions, etc. with this application.

INTRODUCTION: Research Purpose /Objective *(describe in 100 words or less the purpose of the study. What are the problem statement, research questions and hypotheses?)*

RESEARCH METHODOLOGY: *(describe in 100 words or less)*

1. Sample (including sample size, sample demographics/characteristics and recruitment/selection process)
2. Approach (type of methodology, qualitative/quantitative/mixed)
3. Instrument (instruments/protocols used, cognitive/psychological tests, permissions)
4. Data Analysis (QDA, statistics)

RISKS & BENEFITS

Potential risks for human participants: *(describe in 50 words or less the likelihood and seriousness of physical, psychological, social, legal, or other risks. Examples include physical injury, allergies, loss of privacy, release of potentially damaging personal information, psychological trauma, emotional discomfort.)*

How risks will be minimized (include confidentiality and anonymity): *(describe in 50 words or less procedures for protecting against or minimizing each potential risk. For example, loss of privacy may be reduced by storing research materials in a locked cabinet or by using codes rather than participant names or by conducting an anonymous study. In the likely event of harm, referrals to psychological and/or medical resources must be provided.)*

Anticipated benefits of the study: *(describe in 50 words or less any potential direct benefits such as health-related or psychosocial benefits to an individual research subject and contributions to generalizable knowledge.)*

Compensation: *(describe in 50 words or less any compensation that will be awarded to subjects for participation in the study (e.g., cash payment, gift card, course credit, free treatment). For extra credit or course credit, state the alternative method(s) that will be available for earning the credit for those who do not wish to participate.)*

Appendix C: EXEMPT RESEARCH CHECKLIST & FORM



*I guarantee that my responses to the **Exempt Research Checklist** and **Exempt Research Form** above are accurate and complete. In addition, I agree to follow the procedures outlined herein, and if applicable, to ensure that the rights and welfare of human participants are properly protected. I will ensure the study does not commence until the study has been exempted from review by CUI IRB. I will promptly report additions, changes, or problems involving the rights or welfare of human participants to CUI IRB by sending the appropriate IRB form to irb@cui.edu.*

Researcher Signature _____ **Date:** _____

Supervisor Signature _____ **Date:** _____

Other Researchers:

Name: _____ Role: _____

Email: _____ Phone: _____

Signature _____ **Date:** _____

Name: _____ Role: _____

Email: _____ Phone: _____

Signature _____ **Date:** _____

Name: _____ Role: _____

Email: _____ Phone: _____

Signature _____ **Date:** _____

Name: _____ Role: _____

Email: _____ Phone: _____

Signature _____ **Date:** _____