# Institutional Review Board (IRB)

*Truman State University*

***Exempt Research Application Packet Instructions***

*(Do not submit this page of instructions with your application)*

**Step One:** Review the 6 categories of exempt research on the Exempt Research Checklist, on the following page. If your project meets the criteria for one of these categories, place an “X” in the blank beside that category.

If your project does not meet the criteria for one of the exempt research categories you should  
not submit the Exempt Research Application. Return to the IRB website and follow the instructions for the “Standard, Full-Review IRB Application.”

*NOTE: The term "Exempt", as used in human subject research DOES NOT mean that the project does not have to be reviewed. Exempt category projects are minimal risk projects (place the subjects at no greater risk than they would experience in everyday life) and must meet one of the six criteria listed in the Exempt Research Checklist*

**Step Two:**  If your project meets one of the six categories of exempt research, proceed to

the Exempt Research Application Form. Answer all questions completely. Do not use jargon

and explain clearly. Remember the reviewers know nothing about your project, so provide

clear details.

**Step Three**: Prepare the consent form for your project. Follow the Consent Form Template or Parental Consent Template on the IRB website to be sure you include all needed information. Make a copy of additional information that must be submitted with your application such as a survey, principal’s consent form, tests, etc.

**Step Four:**  Submit the original and five copies of the checklist, application form, consent documents, survey and any other documentation that is required, to the Grants Office in McClain Hall 203. IRB submission deadlines and review dates are listed on the IRB website.

**Step Five**: You will receive a copy of your IRB review by e-mail within 5 days following the IRB meeting in which your project is reviewed. If there are corrections or changes required to your project they will be described on your review form.

*If you need further information about the IRB review process contact the Grants Office,*

*McClain Hall 203, 785-7245,* [*irb@truman.edu*](mailto:irb@truman.edu)

***Exempt Research Checklist***

Principal Investigator : \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Project Title:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

To qualify for exempt status, research must fall into one of the following six categories. It is your responsibility to read each

category carefully and to select only the category that accurately reflects the intent and activities of your research.

Exemption does not negate the need for the consent of subjects. **Handwritten applications will not be accepted!**

**Category 1**: Will this research will be conducted in an established or commonly accepted educational setting and involve normal educational practices such as research on regular and special educational strategies or research on the effectiveness of, or the comparison among, instructional techniques, curricula, or classroom management methods?

[ ] Yes. [ ] No

*NOTE: This category may be applied to research involving children.*

**Category 2**: Does this research involve the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior?

[ ] If Yes, A & B below must also be Yes.

[ ] No

*NOTE: This category may be applied to research involving children.*

A. Participants' (including children's) responses in published, presented or any cumulative form will be recorded in such a manner that individuals cannot be identified, either directly or indirectly through identifiers linked to the subjects.

[ ] Yes. [ ] No, project is not exempt

B. Disclosure of the subjects' (including children's) responses outside the research will not reasonably place the subjects at risk of criminal or civil liability, or hold the possibility of damaging their financial standing, employability, or personal reputation, or be personally embarrassing or stressful.

[ ] Yes [ ] No, project is not exempt

**Category 3:** Does this research involve surveys, questionnaires, or interviews AND are the subjects adults?

[ ] If Yes, A & B below must also be Yes.

[ ] No, go to Category 4.

*NOTE: Research involving children cannot be exempt under this category.*

A. The subjects will NOT be asked to answer questions about sensitive or personal topics.

[ ] Yes [ ] No, project is not exempt

B. Participants’ responses will be recorded in such a

manner that individuals cannot be identified, either directly or indirectly through identifiers linked to the subjects.

[ ] Yes [ ] No, project is not exempt

**Category 4:** Does this research involve the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens?

[ ] If Yes, A or B below must also be Yes

[ ] No

*NOTE: Research involving children cannot be exempt under this category.*

A. The information I am collecting or studying is publicly available.

[ ] Yes [ ] No

B. I will record the information collected in such a manner that subjects cannot be identified directly or through identifiers linked to the subjects.

[ ] Yes [ ] No

**Category 5:** Is this a research or demonstration project

that will be conducted by or is subject to the approval

of a (governmental) Department or Agency head?

*NOTE: This category is unlikely to apply to researchers at*

*Truman. However, if you have a project that you believe*

*might fall within this category, please contact the Grants Office.*

**Category 6:** Does this research involve a taste and food quality evaluation and is it a consumer acceptance study?

[ ] If Yes, A or B below must also be Yes.

[ ] No.

*NOTE: Research involving children cannot be exempt under this category.*

A. The food used or consumed, (if any) is wholesome and without additives.

[ ] Yes [ ] No

B. The food to be consumed contains a food ingredient at or below the level, and for a use, found to be safe, or any agricultural chemical or environmental contaminant, at or below the level found to be safe, by any federal agency.

[ ] Yes [ ] No

**Truman state University**

**Institutional Review Board**

### ***Exempt Research Application Form***

### ***Handwritten applications will not be accepted!***

Principal Investigator Name:   
*(If this is a group student research project, lead student name should be listed here)*

Project Title:

Which exemption category(s) does this project meet?

Expected Start Date: Expected Completion Date:

Campus E-mail:

Phone number:

Other Investigators:

\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*

Truman Faculty Sponsor for student research project:

Faculty Sponsor’s Academic Department: E-mail:

Is this project: [ ] A Master's thesis [ ] An MAE final project or case study

[ ] A class project [ ] Being conducted in a foreign country

[ ] Publishable research [ ] Being submitted for external support

## Certification and Approval

**Certification by Investigator**: I certify that (a) the information presented in this application is accurate, (b) only the procedures approved by the IRB or Peer Review Committee will be used in this project, and (c) modifications to this project will be submitted for approval prior to use.

Signature of Investigator Date

**Faculty Sponsor**: If the Investigator is a student, his/her Truman Faculty Sponsor must approve this application. I certify that this project is being conducted under my direct supervision and that I accept the responsibility for ensuring that the investigator meets all provisions of approval.

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
Signature of Faculty Sponsor Date

***The Exempt Research Checklist must accompany this application form.***

**I.** **If Project Is Conducted in a School or Other Educational Setting, Complete This Section:**

Name of school or educational setting:

Location:

What grade are the participants in? Approximate age of students?

How many classes involved? Approximately how many students?

Will subjects be under 18 years of age?

Will all students in a class participate in the study: [ \_\_\_ ] Yes [ \_\_\_ ] No

If No, explain how participants will be selected and which students will be excluded:

**II. Recruiting Participants**

If you are not doing your research in an educational setting/school, how will you be recruiting participants? How many participants do you anticipate recruiting?

**III. Purpose of the Project**

Describe the purpose of this project. Explain exactly what you hope to accomplish or define the expected results. Use lay language. Give enough detail that someone who is unfamiliar with your area of study and your project will understand. Do not state that the project is ‘usual educational procedure.’

**IV. Summary of Activities or Tasks the Participants Will Perform**

Explain exactly what the subjects will do in a sequential order throughout the project. If other individuals are involved in this project (teacher, assistant, etc.) explain their role and activities throughout the project. Use lay language. Attach surveys, interview questions, focus group questions, etc. Describe the frequency and duration of the activities or procedures. Describe any follow-up activities.

**V. Risks**

1. Does the project involve any greater risk or discomfort than that which might be experienced in everyday life? Yes: \_\_\_\_\_\_\_\_\_\_ No: \_\_\_\_\_\_\_\_\_\_

Check all that apply. If any of the following risks are involved in this project it does not meet the Exempt Review criteria.

\_\_\_\_\_ Deception. Subjects will not be told the true purpose of the research.

\_\_\_\_\_ Use of private records, such as educational or medical records.

\_\_\_\_\_ Manipulation of psychological or social variables such as sensory deprivation, social isolation,

or psychological stresses.

\_\_\_\_\_ Presentation of materials that subjects might consider sensitive, offensive, threatening or degrading.

\_\_\_\_\_ Possible invasion of privacy of the subject or family.

\_\_\_\_\_ Social, economic or legal risk.

\_\_\_\_\_ Questions about alcohol or drug usage to underage individuals.

**VI. Confidentiality of Data**

1. Will you record any direct identifiers (names, social security numbers, University ID numbers, addresses, telephone numbers, etc)? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

If yes, explain why it is necessary to collect this information.

2. If yes above, describe the coding system or other method you will use to protect against disclosure of these identifiers.

3. Will you retain a link between the code numbers and the direct identifiers after the data collection is complete? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ If yes, explain why this is necessary and state how long you will keep this link.

4. Will you provide the link or identifiers to anyone outside the research team? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

If yes, explain why and to whom.

5. Where, how long, and in what format (paper, digital or electronic media, video, audio, photographic) will data be kept? What security provisions will be taken to protect the data (password protection, encryption, locked storage area, etc.)

**VII. Informed Consent Process**

**NOTE:** A signed consent document is often not required for exempt research. However, investigators are required to provide adequate information about the research to potential subjects. If children are involved in exempt research, investigators must provide an explanation of the project to parents or guardians, as well as to the children, and give both the opportunity to deny inclusion of the child’s collected data in the research analysis and write-up. ***While exempt category consent may not have to be signed, the Truman IRB usually requires that it be delivered in written format.*** Use the Consent Document template on the IRB website as a guide for developing your own consent document. **\*There is a separate consent document template to be used for parental consent.\***

1. In relation to the actual data gathering or activities of the project, when will consent be discussed and obtained from the subjects? What will be said to the subjects to introduce the project? Be specific.

2. Prepare and attach a consent form for IRB review. See the ‘consent form template’ or the 'parental consent document template' on the IRB website (irb.truman.edu) and follow it carefully.