 Protocol #: \_\_\_\_\_\_\_\_\_\_\_\_\_\_

(ACHS Use only)

**Category 2: Tests, Surveys, Interviews, Observations Application for Exemption Form**

Primary Investigator(s), Department, Email:

1.

2.

3.

Researcher's Status (Check One):

Undergraduate Student

Graduate Student

Faculty

Other (Explain):

Research assistants (anyone other than PI or Faculty Advisor who will have contact with participants; the reason is that the researcher is therefore responsible to assure that all assistants are briefed on the ethical treatment of participants and the maintenance of confidentiality)

1.

2.

Faculty Advisor (if PI is a student) Department, Email:

1.

2.

Title of Project:

Desired Start Date: \_\_\_\_\_\_\_\_ Upon Approval

\_\_\_\_\_\_\_\_\_\_ Other: \_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_\_

Expected End Date: \_\_\_\_/\_\_\_\_\_/\_\_\_\_\_\_

Length of Project:

\*Note: Approval is only good for one (1) calendar year from date of approval. After that year, the researcher must inform the committee if the research is ongoing in writing.

Will this research be submitted to an external agency for funding?

If yes, please name agency: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

A. Check type(s) of measures to be used:

\_\_\_\_Educational Tests (cognitive, diagnostic, aptitude)\_\_\_\_Survey

\_\_\_\_Interview

\_\_\_\_Passive Observation of Public Behavior.

If none of these, STOP. Your project may not meet criteria for this exempt category;

contact ACHS at achs@muskingum.edu.

B. Will subjects under 18 years of age be studied?

\_\_\_\_Yes

\_\_\_\_No

If yes, address the following:

1. Will only educationnal tests and/or passive observation of behavior occur?

\_\_\_ Yes

\_\_\_ No

If no, then STOP! Your project does not meet criteria for this exempt category;

contact ACHS at [achs@muskingum.edu](mailto:achs@muskingum.edu).

1. What is the age range of those to be studied?
2. Provide a rationale for including the age range.
3. Investigator cannot interact with subjects who are children. Who will interact with them?

C. Will information be recorded anonymously (i.e., no subject identifiers or codes that can be used to re-identify subjects will be recorded)?

\_\_\_\_Yes

\_\_\_\_No

If no, then STOP! Your project may not meet criteria for this exempt category;

contact ACHS at achs@muskingum.edu.

D. Will “sensitive information” be recorded that could damage subjects’ reputation, employability or financial standing, or place them at risk for criminal or civil liability?

\_\_\_\_Yes

\_\_\_\_No

If yes, then STOP! Your project may not meet criteria for this exempt category;

contact ACHS at achs@muskingum.edu.

**E. Study Information.** Please briefly describe the study using the questions below.

1. Subjects
   1. Who will be studied?

b. Will subjects under 18 years of age be studied?

\_\_\_\_Yes

\_\_\_\_No

c. At what educational sites will this research be conducted?

1. Recruitment
   1. How will potential participants be identified and how and where will they be approached for participation (as applicable)?
   2. Describe the recruitment materials (such as *ads, letters, recruitment script, e-mails* ) and attach a copy of materials, if applicable to this form.
   3. How will the study be introduced to participants?   
      \_\_\_\_\_ Not Applicable, If Not Applicable, why?
   4. Who has issued permission to provide access to the proposed research site(s)? Attach copies of complete emails (e.g., headers, dates, signature lines) orletters to this form.
2. Methods
   1. Describe all RESEARCH procedures, including tests, recording, observation, collection of course materials, changes to curriculum, testing.
   2. Describe the process of obtaining and documenting consent from participants, including assent (permission) from children under age 18 and consent from their parent/guardian. If working with children, be sure the language used is age appropriate.
   3. If adult participants, what types of interactions will occur between investigators and participants?
   4. Where (in what context or educational setting) will these interactions occur?
   5. How will participants be evaluated?
   6. List the measures (e.g., surveys, questionnaires, tests) to be used, and attach a copy of each to the form.

* 1. Who will collect the data?
  2. How often will participants be contacted, and why?
  3. How will confidentiality of data be maintained?
  4. If participants will be paid or otherwise compensated or ‘incentivized’ (e.g. extra credit), describe how much they will receive and how they will be compensated. Describe how the compensation or incentivization will not be coercive.
  6. Describe the investigator’s expertise with this age range.

1. Additional Information, Clarification, or Comments for the ACHS Reviewer:

**INVESTIGATOR’S ASSURANCE STATEMENT**

I have read Muskingum University's policy concerning research involving human subjects and by signing below:

1. I agree to accept responsibility for the ethical conduct of research conducted in this project;
2. I agree to obtain approval from the Animal Care & Human Subjects committee prior to modifying any of the procedures that might affect an exempt determination;
3. I attest that the information submitted in this application is true to the best of my knowledge.

Principal Investigator(s):

Date

Date

Date

Faculty Review of Student Projects: I have reviewed and approved the procedures to be used in the project described in this application. I agree to meet with the investigator on a regular basis to monitor study progress and assure that the well-being of subjects is adequately safeguarded.

Faculty Advisor(s):

Date

Date

Basic Exempt Criteria 45 CFR 46.101(b)(2) eCFR :: 45 CFR 46.104 -- Exempt research.

“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:

(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;

(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

(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).”