**REQUEST FOR EXEMPTION FROM IRB REVIEW**

The IRB guidelines describe the IRB policies as implemented at Hamilton College. These guidelines provide details about requesting an exemption from IRB review. If you would like to request an exemption, please complete this document (checklist and IRB Cover Sheet: Request for Exemption), add a one-page summary of your research, and send the Word document to iboard@hamilton.edu. Your signature (and, for students, your faculty supervisor’s signature) are required. You may insert a jpeg image of your signature on the appropriate signature line. If only portions of your project are exempt, please submit an application for full review (see instructions at the IRB’s website, http://www.hamilton.edu/institutional-review-board), and indicate which portions you think are exempt. **Contact the IRB Chair at iboard@hamilton.edu if you have any questions.**

PIs are reminded that research that is exempt from IRB review should still meet the ethical standards for research within the PI's academic discipline.

Note: Protocols that have been granted exemption from Hamilton College IRB Review may still be subjected to review mandated by study sites, schools, or collaborating institutions.

**Title of Project:**

*Check all that are true for your* *research:*

☐ **Exemption 1 (adults and children).** Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (i) Research on regular and special education instructional strategies, or (ii) Research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

☐ **Exemption 2 (adults).** Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior with adults, ***unless***:

(i) information obtained is recorded in such a manner that Human Subjects can be identified, directly or through identifiers linked to the subjects; **and**

(ii) 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.

\*If (i) and (ii) are true, exemption will not be granted.

☐ **Exemption 2 (children).** Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), or observation of public behavior when the observer does not interact with the children, ***unless:***

(i) information obtained is recorded in such a manner that Human Subjects can be identified, directly or through identifiers linked to the subjects; **and**

(ii) 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.

\*If (i) and (ii) are both true, you will not be granted the exemption. Moreover, **research with children that involves survey procedures or interview procedures is not exempt.**

☐ **Exemption 3 (adults and children).** Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior if: (i) the Human Subjects are elected or appointed public officials or candidates for public office; or (ii) Federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the Research and thereafter. Exemption 3 (ii) applies to children as well as adults.

☐ **Exemption 4 (adults and children).** Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in such a manner that subjects cannot be identified, directly or through identifiers linked to the subjects. "Existing data" means that the data was collected prior to the start of this study, for example, court records that were on file before the initiation of a Research study of court records. "Information recorded by the investigator..." would include secondary analysis of datasets without identifiers linked to subjects. It also includes studies, such as the court record review, in which the investigator records data from identified files, but does not include the identifiable information in the Research dataset- that is, the investigator uses IDs that are random and unrelated to the primary data.

☐ **Exemption 5 (adults and children).** Research and demonstration projects which are conducted by or subject to the approval of federal Department or Agency heads, and which are designed to study, evaluate, or otherwise examine: (i) Public benefit or service programs; (ii) procedures for obtaining benefits or services under those programs; (iii) possible changes in or alternatives to those programs or procedures; or (iv) possible changes in methods or levels of payment for benefits or services under those programs.

☐ **Exemption 6 (adults and children).** Taste and food quality evaluation and consumer acceptance studies, (i) if wholesome foods without additives are consumed or (ii) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

***Note that the following are not necessarily grounds for an exemption:***

☐ The work is not supported by a federal department or agency. Federal regulations require that that non-federal Research that meets eligibility requirements for review must be reviewed and approved.

☐ The work is conducted outside of the United States. *The International Compilation of Human Subject Protections* is a listing of over 1,000 laws, regulations, and guidelines on Human Subjects protections in over 100 countries and from several international organizations: http://www.hhs.gov/ohrp/international/intlcompilation/intlcompilation.html

Principal Investigator Name (Please print):

Principal Investigator Signature:

Date:

**IRB COVER SHEET: REQUEST FOR EXEMPTION**

**Researcher/Principal Investigator:**

**Faculty Advisor, if student** **PI:**

**Date this form submitted to the IRB:**

**Start date of project:**

**Title of Project:**

**Purpose of the Project:**

**Type of Project (check one):**

☐☐Proposal submitted to, or project funded by, a federal agency:

Agency:

☐☐Proposal submitted to, or project funded by, other funding source:

Funding source:

☐☐Institutional Research (external researcher studying Hamilton College students, faculty or staff). Has your project been approved by Hamilton’s Office of Institutional Research?

☐ YES ☐ NO

☐☐Student investigator: Advisor must also sign this cover page.

☐☐Other project (pilot study, unfunded research)

[Please specify: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_]

**Outside Financial Interests:**

Do you or any other person responsible for the design, conduct, or reporting of this research have an economic interest in, or act as an officer or a director of any outside entity whose financial interests would reasonably appear to be affected by the research?

☐ ☐ YES ☐ NO

*If you checked yes, please explain:*

***Signed***

Signature of Researcher or Principal Investigator

***Signed***

Signature of Advisor (if student PI)

**Add a one-page summary of your** **research before submitting it to** [**iboard@hamilton.edu**](mailto:iboard@hamilton.edu)**.**

Portions of this document have been borrowed from a similar document at Wellesley College.