UNITED TRIBES TECHNICAL COLLEGE
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United Tribes Technical College
Institutional Review Board for the Protection of Human Subjects
Checklist for Research Qualifying for Exempt Review
Form B

Project Title: _____

Directions: Submit this form if you believe that your project qualifies for exempt review. Generally speaking, projects that are eligible for Exempt Review status are those that (1) do not involve vulnerable populations, (2) are free of foreseeable risk to the participants, and (3) use minimally invasive data collection techniques. In addition, projects eligible for Exempt review must meet ALL the criteria in Part A and at least one of the criteria in Part B.

Part A: Check the items that apply. (All must apply to qualify for exempt review.)

- ☐ The research does not involve prisoners, fetuses, pregnant women, and the seriously ill, or mentally or cognitively compromised adults as participants.
- ☐ The research does not involve research participants under the age of 18.
- ☐ The research is completely anonymous (the participant cannot be identified, directly or identifiers linked to the subjects) OR the research does not involve the collection or recording of behavior which, if known 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.
- ☐ The research is completely anonymous OR the research does not involve the collection of information regarding sensitive aspects of the subjects' behavior. (e.g., drug or alcohol use, illegal conduct, sexual behavior)
- ☐ The research does not involve deception. (e.g., if a subject knew-before agreeing to be in the study-all the details of what participation would entail, would this affect his or her decision about whether to participate?) The data collection tool identifies where data will be shared.
- ☐ The procedures of this research are generally free of foreseeable risk to the subject.

Part B: Check the items that apply. (At least one must apply.)

- ☐ The research will be conducted in established or commonly accepted educational settings and will involve normal educational practices. (e.g., research on regular and special education instructional strategies, research on instructional techniques, curricula, or classroom management methods)
- ☐ The research will involve the use of survey procedures, interview procedures, observation of public behavior, focus groups, or educational tests. (cognitive, diagnostic, aptitude, achievement)
- ☐ The research will involve the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens (for example, census tract data previously collected for another purpose). These sources are either publicly available or the information will be recorded anonymously.
- ☐ The research (including demonstration projects) will be conducted by or subject to the approval of federal department or agency heads, and is designed to study, evaluate, or otherwise examine: (i) Public benefit or service programs (e.g., social security, welfare, etc.); (ii) procedures for obtaining benefits or services under those programs; (iii) possible changes in methods or levels of payment for benefits or services under those programs.
- ☐ The research involves taste or food quality evaluations or consumer acceptance studies and the tested products are wholesome foods without additives or foods which contain additives at or below levels found to be safe by the FDA or approved by the EPA of the Food Safety and Inspection Service of the US Department of Agriculture.

If you meet the above required conditions for exempt review, complete the following items:

Part C: Please provide the following information.

1. **Provide an abstract that describes your study.** This information will be distributed to the review committee and other interested parties and will be used to assess whether your research meets the general conditions for exempt review. It should contain the study's goals, description of the subjects (including expected age range, sex distribution, and basic demographic information), if the participants need to have any particular characteristics to be eligible to participate (for example, if you are interested only in studying American Indian/Alaska Native females), how the participants will be recruited or selected for participation, what you will ask them to do and how long it will take, and whether the participants' identity will by anonymous, confidential, or public.

2. **Provide a copy of your consent form or script**. Exempt projects do not require written consent. If you are interacting with your research participants, however, all participants must give oral consent agreeing to participation. This consent must include a) identification of the researcher and their affiliation; b) statement of the purpose of the study; c) time required for participation; d) statement about whether participation is anonymous, confidential, or public; and e) explicit statement that participation is voluntary and request for agreement to participate.

3. **Provide a copy of the contact information handout you will give to participants**. All researchers who interact with research participants are required to offer participants contact information so participants who have questions after the study can speak to the researcher and/or to the IRB chairperson/committee member. If you provide a written consent form to your participants, contact information can be included at the bottom. This should include: a) name/title of project; b) name and phone number of the researcher; c) name and phone number of IRB chairperson/committee member; d) advisor contact information (if applicable for students); and e) faculty or staff contact information.

4. **Provide copies of your research protocols**. Provide enough information for the reviewers to have a clear idea of exactly what your participants will be asked to do and the kind of information they will be asked to provide. This may differ for different types of data collection tasks. Some data collection methods may include:
   - Observations: Provide a clear description of where you will be doing your observations, what will be observed and how you will record it (e.g., running record, videotape, etc.). If you will be interacting with the participants, describe your own role in the setting. Remember, participant observation requires informed consent or requires expedited review.
   - Open-ended interviews: Describe the topics that will be raised by the interviewers. What will be done if the interview strays outside the topic covered by the consent procedure or includes unanticipated disclosure of illegal or sensitive material?
   - Closed-form surveys or interviews: Provide a script of the interview questions or a copy of all instruments (surveys, test, etc.). What will be done if the interview strays outside the topic covered by the consent procedure or includes unanticipated disclosure of illegal or sensitive material?
   - Existing data: Provide a description of how you will obtain the data and permission for use of the data.
   - Focus Group: Provide a list of focus group questions.

5. **Describe how the participants' identities will be protected**. If the information is anonymous or confidential provide the following: a) Describe how you will record and protect the identity of the participants (including in your field notes or on your computer, if applicable) and b) Include plans for protecting any recordings or videotapes made if applicable.

6. **Describe how you will maintain and secure original data.** Include the following: a) description of plans for maintaining and securing original data collected during the study and following completion of the study; b) how long will you keep the original data; and c) the process you will use for disposing of data records.

7. **Describe your relationship, if any, with participants outside the research setting**. If you are involved with the participants in a formal or informal role (tutor, instructor, resident assistant, colleague), address such issues as a) impact of the research on the participants, b) how participation will be truly voluntary and free of coercion, and c) what steps have been taken to minimize pressure or unanticipated negative consequences on the research participants

8. **Describe the benefit of the study to United Tribes Technical College**. (Provide a rationale for conducting the study at UTTC.)