

**Hobart and William Smith Colleges**  
**– Colleges of the Seneca –**  
**Form B**  
**Application for Exemption from IRB Review**  
**for Research with Human Subjects**

**Directions:** This application is to be submitted to and approved in writing by the IRB *prior* to the initiation of any investigation involving human subjects. **Note that research activities will only be considered for exemption from further review when all items in Section One and at least one item in Section Two apply.** Please submit a signed, paper copy and an electronic version of your application with copies of all consent forms, surveys, questionnaires and/or interview protocols you plan to use to the Office of the Provost.

**Principal Investigator**      *Name:*

*HWS Department Affiliation:*

*Campus Address:*

*Email Address:*

*Phone Number:*

**If Principal Investigator is a student:**

*Name of Faculty/Staff Supervisor:*

*Supervisor's Campus Address:*

*Supervisor's Email Address:*

*Supervisor's Phone Number:*

**Note: supervisor's signature must appear at the end of this form.**

**Project**      *Title:*

*Anticipated Starting Date:*

*End Date:*

*Project Involves:*       Faculty/Staff research  
 Independently conducted student research  
 Other:

*Project Collaborators:*  
*(Indicate institutional affiliation if non-HWS)*

<i>For IRB use only:</i>		<b>Application #</b> _____
___ Approved	___ Not approved	<b>Submission Date:</b> _____
		<b>Revision Date:</b> _____
_____	_____	_____
Print Chair's Name	Chair's Signature	Date

**Section One:** Please answer Yes or No for each of the following statements:

- Yes  No 1. **No** participating human subjects fall under a protected category (non-HWS students under 18 years of age; pregnant women, fetuses, or neonates; institutionalized persons; persons with psychiatric, cognitive, or developmental disorders; or persons under the influence of alcohol or drugs).
- Yes  No 2. The research is conducted anonymously or the research **does not** involve the collection or recording of behavior that, 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.
- Yes  No 3. The research **does not** involve deception.
- Yes  No 4. The research involves **no** foreseeable risk (physical, psychological, social, legal or financial) to human subjects.
- Yes  No 5. The research **does not** require a waiver from informed consent procedures.
- Yes  No 6. The research is conducted anonymously (i.e., **does not** link participant name or other identifier with result) or preserves confidentiality (i.e., **does not disclose** any identifying information about participants when reporting the research).

**If you answered Yes to every statement in Section One, please proceed to Section Two. If you cannot answer Yes to every statement in Section One, you are not eligible for exemption from IRB review and must fill out *Form A: Application to Conduct Research with Human Subjects*.**

**Section Two:** Please check all categories that apply to your research project:

1. 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.
2. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, 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.

- 3. 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 if (ii) the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.
- 4. 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.
- 5. Research and demonstration projects which are conducted by or subject to the approval of 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.
- 6. 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.

**Section Three:** Please provide all of the information requested below in **non-technical** terms.

1. Purpose of the investigation: provide a brief overview of the objectives of the study.
2. Estimated number of participants:
3. Describe your subject population in broad demographic terms.
4. Describe the criteria used in the selection process. Indicate if there are any special inclusion or exclusion criteria.
5. Participant incentives: will any inducements (e.g., money or course credit) be offered in exchange for participant involvement in research? Attach a copy of any material you will use

to recruit participants (e.g., advertisements, flyers, telephone scripts, verbal recruitment, or cover letters)

6. Description of methodology: clearly describe the research procedures you plan to use.
  
7. Data collection: describe how data will be both collected and recorded. Append copies of all interview protocols, written instruments and/or describe any apparatus with which subjects will be in direct contact.
  
8. Confidentiality: describe the steps that will be taken to ensure confidentiality of all personal data collected, including plans for storing/disposing of data records at the conclusion of the research.

*Note: Please append to this application any additional applicable information (e.g. consent forms, debriefing scripts, interview protocols, and survey instruments).*

**Assurance Statement**

I confirm that the procedures described above are accurate and will be followed in the course of the research project. I will notify the IRB of any changes to procedures and if unanticipated problems arise during the research process.

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Signature of Principle Investigator

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Date