

Appendix A

Application for IRB Review and Certification of Compliance: Exempt Application Form Checklist

Exempt Review (Level 1) Application

No or Minimal Risk

(This level of application is reserved for research projects using archived data where there is no Principal investigator - participant interaction.)

To the Principal Investigator of a research project:

1. *Please review the documents listed below that pertain to your research project. In the event that your project does require the use of any of the listed documents, attach a copy of that document to the application submitted for IRB review.*
2. *If you are conducting a research project in another institution (e.g., a hospital or school), you must attach a signed permission letter from a supervisor/administrator who is in a position to grant you permission to conduct the research at that site. The letter must be on institutional letterhead and must have an original signature.*
3. *If that institution also has a Human Subjects Review Committee--often referred to as the Institutional Review Board (IRB)-- then written permission from the participating institution's IRB must be attached to your IRB application.*
4. *If you are conducting the research outside of the United States, you may not file at the Exempt level.*

Please check: The attached Application for Certification of Compliance contains

Institutional Permission Letter (where data is held) or documentation of ability to use data

Letter(s) of Informed Consent (may be needed if there is a question about use of data)

Conflict of Interest Disclosure Statement

CITI Completion documentation for both Principal Investigator and Faculty research supervisor

Principal Investigator and Faculty Research Supervisor's signatures

***Application for IRB Review and Certification of Compliance
Exempt Cover Sheet***

IRB# _____

Date Logged: _____

*Use this form for research involving Archival Data or Literature Review
No or Minimal Risk*

(Review by one or more IRB Members—May lead to Expedited or Full Review)

Principal Investigator/Researcher's Name: _____

Student ID Number: _____

Type of Research Project (CRP, Dissertation, describe other) _____

Title of Research Project: _____

Principal Investigator/Researcher's Address: _____

Email Address: _____ Telephone Number: _____

Faculty Research Supervisor/CRP/Dissertation Committee Chair's Name: _____

College: Business Psychology and Behavioral Sciences
 Education Health Sciences OTHER _____

Program of Study: _____ Degree _____

Project Proposed Start Date: _____ Project Proposed Completion Date: _____

As the principal investigator, I attest that all of the information on this form is accurate, and that every effort has been made to provide the reviewers with complete information related to the nature and procedures to be followed in the research project. Additional forms will be immediately filed with the IRB to report any change in subject(s), selection process, change of principal investigator, change in faculty research supervisor, adverse incidents, or final completion date of project. I also attest that I will treat human participants' data ethically and in compliance with all applicable state and federal rules and regulations that apply to this study, particularly as they apply to research work conducted in countries other than the United States.

Signature of Principal Investigator/Researcher _____ / _____
Date

Approval Signature - Faculty Research Supervisor/CRP/Dissertation Committee Chair:

Date

IRB Certification Signature:

Date

The above named research project is certified for compliance with Argosy University's requirements for the protection of human research participants with the following conditions:

- 1. Research must be conducted according to the research project that was certified by the IRB.*
- 2. Any changes to the research project, such as procedures, consent or assent forms, addition of participants, or study design must be reported to and certified by the IRB.*
- 3. Any adverse events or reactions must be reported to the IRB immediately.*
- 4. The research project is certified for the specific time period noted in this application; any collection of data from human participants after this time period is in violation of IRB policy.*
- 5. When the study is complete, the investigator must complete a Completion of Research form.*
- 6. Any future correspondence should be through the principal investigator's research supervisor and include the assigned IRB research project number and the project title.*

NOTES:

- Please complete this cover and the Petition in detail. Every question must be answered. Please type your answers.*
- Attach the appropriate documents and submit the entire application materials under the cover of a completed Application Checklist to the CRP or Dissertation Chairperson.*
- Do not proceed with any research work with participants until IRB Certification is obtained.*
- If any change occurs in the procedure, sample size, research focus, or other element of the project impacts participants, the IRB must be notified in writing with the appropriate form (see ancillary forms).*
- Please allow 30 days after receipt of a complete application for processing.*
- DO NOT COLLECT DATA PRIOR TO RECEIVING IRB CERTIFICATION**

***Application for IRB Review and Certification of Compliance
Exempt Application***

Exempt Review (Level 1) Application, No or Minimal Risk

(This level of application is generally reserved for research projects using archived data or literature reviews, where there is no principal investigator-participant interaction.)

In addition, the following conditions apply. Read and complete the following statements: If you answer “no” to both statements, your research does NOT qualify for Exempt status. (If your project does NOT qualify for Exempt status, complete an Expedited or Full application, based on risk/benefit ratio to participants).

- a. Any research that only involves archival data. Y N
- b. A literature review. Y N

Please completely answer the requested information (NA is not acceptable for any question). DO NOT attach your research proposal. Answer the questions as stated.

1. Identify Study Site: _____
2. Brief but detailed summary of the project, including methodology:

6. Describe why this project fits the Exempt level of risk.

7. Describe review by institutions outside of Argosy University. (Attach copies of permission letters, IRB certifications, and any other relevant documents).

Attach any other required forms, including the principal investigator and faculty research supervisors' CITI completion forms, the principal investigator's Conflict of Interest form, tests, institutional permission slips, etc, related to this study. Failure to do so will result in delayed processing of the application.