**Research Proposal Form – Application for Exempt Project**

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| For Research Approval Committee use Only:  Date:\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Project Identification Number: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

SCC Research Approval Committee

*Please fill out this form in Word, print out and return with signatures*.

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| --- | --- | --- | --- | --- |
| **Name** | **Email** | **Phone Number** | **Department** | **SCC student, faculty, or staff**  (Please specify if you are a faculty/staff sponsor) |
| Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. |
| Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. |

**Project Title:** Click here to enter text.

**Project Start and End Dates:** Click here to enter text.

**Where will the work be done?** Click here to enter text.

**Course Name/Number/Section (if applicable)**  Click here to enter text.

**Are you the instructor for the course (if applicable)?** Choose an item.

**Does your project involve participants or individuals from any of these special/vulnerable populations** (Check all that apply):

*Note: If your study involves any of the below populations, you will need to seek formal,* ***external****, IRB review*

Children under 18 years of age  Native Americans  Prisoners

Pregnant women, Neonates, & Fetuses  Mentally &/or physically infirm

**NOTE: Research is defined as a systematic investigation (i.e. gathering and analysis of information) designed to develop or contribute to generalizable knowledge. If your project does not fit into this definition, it is not considered research and does not need to be reviewed.**

**Summary of Exempt Criteria Categories:**

* Education Research
* Surveys, interviews, education tests, public observations (that do not involve children or other protected groups)
* Studies of public officials
* Analysis of previously-collected, anonymous data
* Public benefit or service program
* Consumer acceptance, taste and food quality studies

**NOTE:** For the full federal policy, visit: <https://www.hhs.gov/ohrp/regulations-and-policy/regulations/45-cfr-46/#46.101>

**Reason for Exempt Status:**

**Category 1**: Research conducted in established or commonly accepted educational settings, involving normal educational practices such as research on regular and special education instructional strategies or on the effectiveness of or the comparison among instructional techniques.

**Example:** Research conducted for a non-SCC class project (excluding dissertation or thesis work) with the sole intention of completing the project to meet course requirements, with no intention to use the results beyond the course assignment.

**Example**: Testing or comparing a curriculum or lesson.

**Example**:A quality assurance, improvement, or organizational effectiveness study used to improve or develop programs, functions or services for SCC that will not have outcomes generalized outside of SCC.

**Category 2**: Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior unless the human subject can be directly identified or if any of the subjects responses outside of the research could place the subject at risk of criminal or civil liability, or could be damaging to the subject.

**Example**: Interviews with college seniors (18 and older) about their plans after graduation. The answers to questions asked would present no risks to subjects if divulged outside the research.

**Example**: Conducting a focus group about an experience or an opinion of a program.

**Category 3:** Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior if the human subject is an elected/appointed public official or candidate for public office.

**Example**: Interviewing public officials about a local or global issue.

**Category 4:** Research involving the collection or study of existing data, documents, or records 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.

**Example**: Analyzing existing data made public by The World Health Organization Global Health Observatory Data Repository.

**Category 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 public benefit or service programs; procedures for obtaining benefits or services under those programs; possible changes in or alternatives to those programs or procedures; possible changes in methods or levels of payment for benefits or services under those programs.

**Note**: This category only applies to research on public benefit programs (such as Social Security) conducted by the federal government and therefore would rarely, if ever, be applied to research at SCC.

**Category 6:** Taste and food quality evaluation and consumer acceptance studies, if wholesome foods without additives are consumed or if a food it consumed that contains a food ingredient at or below the level and for a use foundto be safe. See also [FDA’s Exempt Category](https://irb.northwestern.edu/process/new-study/reviews/exempt-categories-examples#FDA).

**Example:** A taste-test on different varieties of a fruit to determine consumer preference, when the fruits do not have any additives and subjects are asked to indicate which fruit they prefer.

**Check all that apply and estimate total number/range of individual participants in each relevant category about whom you will be collecting data on for your project or grant:**

SCC Students: **Click here to enter text.**

SCC Faculty: **Click here to enter text.**

SCC Staff: **Click here to enter text.**

Comments (optional):

Click here to enter text.

**Subjects Research Project/ Study Checklist** (Check as appropriate):

**Y N**

1. Does this project of study involve collection of data that identifies individuals (e.g. SSN, name, student ID number, demographics, etc.)? **Click here to enter text.**
2. Will data that identifies individuals be shared with anyone (such as in a performance report for a funding source, conference presentations, published articles and reports, dissertation, thesis etc.)?
3. Are the participants being offered one or more incentives to participate (such as money, extra credit for a class, etc.)? List the incentives here: **Click here to enter text.**
4. Participants will be fully informed about the benefits and any risks.
5. Will participants be recorded or photographed during the project or study?
6. Participants’ privacy and personal information will be protected.
7. Will participants be debriefed following completion of the project or study? If so, provide the debriefing statement with this form.
8. Will participants, prior to the project, indicate informed consent to participate by completing and signing a written or electronic form? If so, include the informed consent form.
9. Are data sources clearly identified (Such as interviews, surveys, existing project data such as services received, reports, grades, existing school records, focus group, etc.)? If so, include a copy.
10. **Abstract Describing Project and Purpose:**

Briefly describe (a) the project or study and (b) what human participants will experience during the proposed study or project. [Describe all strategies or experimental methods to be used, project or study design, and program activities.] Indicate what data, measures, or observations will be collected and used in the study or for the project. If any questionnaires, interview questions, tests, or other instruments are to be used, include a brief description **and** one copy of the instrument(s).

Click here to enter text.

**II. Methodology:**

Specify who the project participants or research subjects will be. Indicate how they will be solicited, recruited, or contacted. State how much time will be required of each participant or subject. Describe procedures to which individuals will be subjected. Use additional pages if necessary.

Click here to enter text.

**III: Voluntary Participation:**

Specify the steps that will be taken to ensure that each individual’s participation is voluntary. State what, if any, incentives will be offered for their participation. If extra credit will be used as an incentive, please provide a detailed description of the extra credit and how you plan to implement this incentive. **Note: Alternative extra credit options must be provided if this is a course project, and you offer extra credit.**

Click here to enter text.

**IV. Confidentiality of Data and Privacy Protection:**

Describe the methods to be used to safeguard the privacy of your participants and ensure the confidentiality of data obtained, including plans for publication, storage, and destruction of data, including that of print or recorded materials.

Click here to enter text.

**V. Informed Consent:**

Attach a copy of all consent forms to be signed by the participants and/or any statements to be read to or provided to the participant. If you believe your study should be exempt of formal informed consent, provide a statement of why and a copy of your cover letter.

* Please see informed consent template for a guide.

Click here to enter text.

**VI. Risks to Participants:**

(a) Describe any potential risks to participating individuals – physical, psychological, social, legal or other; (b) include all known and anticipated risks to the participants such as side effects, risks of placebo (inert) treatments, etc. Please provide a detailed description on how you plan to mitigate these risks.

Click here to enter text.

**VII. Benefits:**

1. Describe the benefits and/or any compensation that the participating individuals can expect and (b) describe the gains in knowledge that may results from the project or research study.

Click here to enter text.

**Attachments: Attach all that apply to your proposal.** *(Check the ones you’ve included with the proposal. Only include those items that apply to your research)*

Informed Consent Document or Cover Letter on SCC letterhead or statement to be read to participants

Questionnaires, interview questions, surveys, or other data-gathering forms

Letters, flyers, emails, etc., that will be distributed to the study subjects

Debriefing document (if necessary)

**NOTE:**

The above information should be in sufficient detail to allow for the Research Approval Committee to determine if the study can be classified as EXEMPT or EXPEDITED under Federal Regulations 45 CFR 46.101(b).

**Certification and Signatures**

*In making this application, I certify that:*

1. I understand my responsibility as a researcher to conduct this project ethically.
2. I have read and understand the protocol and method of obtaining informed consent.
3. I agree to comply with federal, state and local laws regarding the protection of human participants in research.
4. I will submit any future changes to the research project to the Research Approval Committee for review and approval prior to implementation, as these may alter the status of the project.
5. I agree that any new findings that develop during the course of this study that may affect the risks and benefits to participants will be promptly reported to the Research Approval Committee in writing.
6. I agree that any adverse events that occur in the course of this study will be promptly reported to the Research Approval Committee in writing.
7. I agree and understand that the records of the participants will be kept for at least five years after the completion of the research.
8. I agree that within 30 days of the project end date, a Research Status Form must be completed.
9. I may begin research (including pilot testing) after the Research Approval Committee gives notice of its approval.

**Signature of Principle Investigator:**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Printed Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Date: / /**

**Signature of Principle Investigator:**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Printed Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Date: / /**

**Co-Investigator(s) Name(s): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Approval by Faculty/Staff Sponsor (e.g., student special project).** I accept responsibility for the conduct of this research, the supervision of human participants, and the maintenance of informed consent documentation as required by the Research Approval Committee.

**Signature of the Faculty/Staff Sponsor: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Printed Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Date:**  **/ /**

**RAC OFFICE Use Only:**

**This application has been reviewed by the SCC RAC as:**

**Approved**

**Approved, Subject to Revisions**

**Tabled (insufficient information for RAC to make final decision)  
Not Approved**

**Authorizing Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Printed Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Date: / /**

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**Printed Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Date: / /**