

**ALBANY STATE UNIVERSITY**  
**INSTITUTIONAL POLICY AND PROTOCOL FOR REVIEWING**  
**RESEARCH PROPOSALS INVOLVING HUMAN SUBJECTS**  
**Protocol for Faculty and Students**

**EXEMPTION APPLICATION**

Principal Investigator \_\_\_\_\_

Title of the Project \_\_\_\_\_

Please submit one copy to your immediate supervisor (faculty) or to the Chairperson of your faculty committee (student): your completed Exemption Application and description of your project including an explanation or the rationale for exemption. After your immediate supervisor (faculty) has signed the application, send the complete packet to the Chairperson of the Institutional Research Review Board for appropriate action. Please write a brief description of your project including an explanation or rationale for exclusion. (You may attach additional information.)

***Note: Prior to conducting human research, you must successfully complete an approved training course/module related to human subject protection and protocol (i.e. NIH, CITI, etc.)***

Please write a brief description of your project including an explanation or rationale for exclusion. (You may attach additional information.)

\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
Date

\_\_\_\_\_  
Investigator's Signature

\_\_\_\_\_  
Telephone Number

\_\_\_\_\_  
E-mail Address

Campus or Home Address \_\_\_\_\_

Comments of immediate supervisor (faculty) or chairperson of faculty committee (student).  
*Please use an additional sheet of paper and attach same to this document*

\_\_\_\_\_  
Supervisor's/Chairperson's Signature

\_\_\_\_\_  
Date

Department/Unit \_\_\_\_\_

## EXEMPTION APPLICATION

Principal Investigator \_\_\_\_\_

Title of Project \_\_\_\_\_

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After reviewing items 1-6 below, please check the number that closely approximates the nature of your research/project.

Exemption claimed:

- \_\_\_\_\_ 1. Research to be conducted in established or commonly accepted educationally normal educational practices, such as (i) research on regular or special educational instructional strategies, or (ii) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.
- \_\_\_\_\_ 2. Research which will involve the use of educational tests (cognitive, diagnostic, aptitude, achievement), if information taken from these sources is to be recorded in such manner that subjects cannot be identified, directly or through identifiers linked to the subjects.
- \_\_\_\_\_ 3.a. Research which will involve survey or interview procedures, except where the subjects could be identified directly or through identifiers linked to the subjects. **NO EXCLUSION** can be given if the subject's responses, if known outside the research, could place them at risks of civil or criminal liability, damage their financial standing or employability, or the research deals with sensitive areas such as religious practices, illegal conduct, drug or alcohol use, or sexual behavior, or if the research can be anticipated to be distressful to adult subjects. In addition, **NO EXEMPTION** can be given if the research involves children as subjects: attach to this application a copy of any questionnaires to be used.
- \_\_\_\_\_ 3.b. Research which will involve survey or interview of elected or appointed public officials or candidates for public office.
- \_\_\_\_\_ 4. Research which will involve the observation (including observation by participant) of public behavior. **NO EXEMPTION** can be given if the subject's responses, if known outside the research, could place them at risk of civil or criminal liability, damage their financial standing or employability, or the research deals with sensitive areas such as religious practices, illegal conduct, drug or alcohol use or sexual behavior, or if the research can be anticipated to be distressful to adult subjects. In addition, for research involving children, **NO EXEMPTION** can be given if the investigator participates in the activities being observed.

- \_\_\_\_\_ 5. **Research which will involve the collection or study of existing data, documents, records, pathological specimens or diagnostic specimens of these sources are publicly available or if the information is to be recorded by the investigator in such a manner that subjects cannot be identified, directly or through identifiers linked to the subjects. Attach a specimen release if applicable.**
- \_\_\_\_\_ 6. **Research that is conducted as a class project or for earning a degree at Albany State University in which children are not involved and the participants' behavior will not be manipulated.**

**Are federal funds being used?      Yes       No**