# Appendix A-II

### Exempt Review Application Form

If your research involves human subjects[[1]](#footnote-1)\*, please read the [Institutional](http://www.zu.ac.ae/main/en/research/for_researchers/research_integrity/ethical_clearance.aspx) Review Board Policy before completing this form to determine whether you should complete this form. Exemption is only awarded where the proposed research meets one or more of the categories mentioned in the Institutional Review Board Policy.

Completed forms must be submitted to the Institutional Review Board (IRB) for final decision regarding exemption.

SECTION A

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| --- | --- | --- | --- | --- |
| Project Title: |  | | | |
| Principal Investigator (PI): | Name: |  | School: |  |
| Title: |  | Department: |  |
| Telephone: |  | Email: |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| List all Co-Investigators below, including those from other institutions: | | | | |
| Name | Responsibility on Research Project | Designation | University/ School | Email |
| 1. |  |  |  |  |
| 2. |  |  |  |  |
| 3. |  |  |  |  |

SECTION B - Project funding, purpose and research design

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| --- | --- |
| 1. Current or planned funding source (internal or external) | |
| Is project funding sought/achieved? | Yes (provide the information below)  No |
| PI of Grant or Contract: |  |
| Funding Source: |  |
| Time period of Grant Funding: |  |

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| **2. Possible conflict of interest** |
| Will members of the research team have financial interest in, receive personal compensation from, or hold a position in an industry sponsoring this project or otherwise have a potential conflict of interest regarding the conduct of this project? |
| Yes (Provide the information below)  No |
| If yes, Please provide details: |

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| **3. Purpose of Research Project**  Provide a brief summary below (i.e. maximum 300 words) of the purpose of the project in general terms, including background information as necessary, research question(s), and importantly, an explanation of why this research is needed.  NOTE that a guiding ethical principle for research includes ‘non-maleficence’, or the duty to prevent unnecessary risks of harm for subjects, and the verification that their participation in research must be essential to achieving scientifically or socially important aims. Human subjects research must be justified by its potential benefits, including (but not limited to) its contribution to knowledge, improving social welfare and individual wellbeing. |
| Please provide summary: |

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| **4. Description of the research design, methods and procedures**  (A copy of all data collection instruments must be attached with this application)  Provide a description below of the research design (including steps and methodology), what kinds of data will be collected, details on the primary outcome measurements, and follow-up procedures or actions anticipated.    Note: It must be designed or developed using methods appropriate to achieving the aims of the research proposal. |
| Please provide description: |

SECTION C- Exemption Criteria

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| --- | --- |
| The proposed research is exempt from the full ethical clearance process based on the following criteria: | |
| 1. Research will be conducted in established or commonly accepted educational settings, involving normal education practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods. | YES |
| 2. Research will involve the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, and will not: (a) record information obtained in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and will refrain from (b) any disclosure of the human subjects' responses outside the research that could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. | YES |
| 3. Research will involve the collection or of existing data, documents, records, pathological specimens, or diagnostic specimens, and these sources are either publicly available or the information will be recorded by the investigator in such a manner that subjects cannot be identified, directly or through identifiers linked to the subjects. | YES |
| 4. Research is primarily focused on quality assurance or process improvement. This project is generally studied within an institution, comparing reality/practice to established standards, and are carried out and applicable only within the institution, and not intended for publication. | YES |
| 5. Research conducted as part of an in-class assignment. Research that will be conducted using human subjects are not systematic or generalizable. Systematic research includes research development, testing, and evaluation, and it is designed to create generalizable knowledge. Generalizable knowledge involves the creation of new knowledge that may be the basis for scholarly publication. In general, the project is meant to complete an assignment for a class and will not be published. | YES |

**SECTION D-**Proposed Research Subjects

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| Describe (maximum 300 words) **who are the research subjects**, and in what ways the research will or will not present more than minimal risk to human subject. |
| Please provide details: |

**SECTION E**

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| Complete the following questions in relation to this research project, if applicable: | |
| **Research does NOT involve children as participants, or participants who are known to be prisoners.**  *Children* are defined as those under 14 years old. | TRUE |
| **Research activities do not present more than minimal risk to human subjects**  Minimal risk means that the probability and magnitude of harm or discomfort anticipated in the research are not greater in and of themselves than those ordinarily encountered in daily life or during the performance of routine physical or psychological examinations or tests. (According to the Institutional Review Board Policy) | TRUE |
| If there is recording of identifiable information, there are adequate provisions to maintain the confidentiality of the data | TRUE |
| If there are interactions with subjects, there will be a voluntary consent process (including some type of documentation) that will disclose such information as:   * That the activities involve research * The procedures/activities in which subjects will be involved * That participation is voluntary * Name and contact information for the Principal Investigator and the IRB   It is strongly recommended that teachers do not use their own students as subjects in their research, as student may feel undue pressure to participate.  In principle all subjects must give consent, however **such consent or documentation of consent may be waived** as specified in the IRB Policy.  I request the consent requirement is waived  I request that documentation of the consent process is waived | TRUE |
| There are adequate provisions to maintain the privacy interests of subjects. | TRUE |
| I have completed the required [CITI human subjects research online training](http://www.citiprogram.org/) modules. | TRUE |
| I agree to a continuing exchange of information with the IUB- Institutional Review Board (IRB) and to obtain approval before making any changes or additions to the project. | TRUE |
| I agree to report promptly to the IRB all unanticipated problems or serious adverse events involving risk to human subjects. | TRUE |

**SECTION F-** Required documents

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| Attach all relevant documentation: | |
| Copies of all data collection instruments, including surveys, interview questions, etc. | YES |
| Copies of all consent and information forms, including translated forms, as appropriate. | YES |
| Copy of any wording, advertisement or script etc. intended to use when recruiting subjects. | YES  N/A |
| Copy of any ethical approval for co-investigators external to IUB, or collaborative institutions. | YES  N/A |
| Copy of CITI human subjects research completion report. | YES |

Signature of PI: Date:

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| --- | --- | --- |
| Date received |  | Date PI notified |
| Date checked and accepted |  | Date of change notification |
| Date(s) of committee review |  |  |

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| --- | --- |
| Is the consent requirement waived? | Yes  No  N/A |
| Is documentation of the consent process waived? | Yes  No  N/A |
| Is demographic information collected with cultural sensitivity? | Yes  No  N/A |
| Has the PI (and Co-PI) completed CITI training? | Yes  No |

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| --- | --- | --- | --- | --- |
| Is the research proposal exempt from Full Board Review? | Yes  No  Revisions required | Remarks |  | |
| Detail any revisions or additional information required: |  | | | |
| Name of reviewer(s): |  | | Date: |  |

1. \*A human subject can be identified as a living individual about whom an investigator (whether professional or student) conducting research obtains: (1) data through intervention or interaction with the individual or (2) identifiable private information.

   [↑](#footnote-ref-1)