

UCSD COVER SHEET FOR EXEMPT STATUS APPLICATION

Instructions: This form should be used by researchers who propose to conduct human subjects research which they believe qualifies as **exempt according to federal regulations (45 CFR 46.101[b])**. The determination as to whether a study is exempt must be made by a UCSD IRB Chair or Director of the HRPP. **NOTE: No research activities may begin until the research has been reviewed and determined exempt by the IRB Chair, the HRPP Director, and/or the Chair's designee and notification received.**

To apply for exempt status:

1. Complete and sign this cover sheet
2. Complete and sign the [Exempt Status Facesheets](#)
3. Complete appropriate Research Plan ([Research Plan for Categories 1, 2, and 3](#) or [Research Plan for Category 4](#))
4. Provide copy of additional protocol materials such as consent, survey, interview questions, etc., as needed.
5. Submit to HRPP Office using [eIRB services](#).

Principal Investigator _____

Faculty Advisor (if needed) _____

Protocol Title _____

EXEMPTION CATEGORY CLAIMED (Check all applicable categories and sub-parts below)

- 1. Exempt Category 1:** Research conducted in established or commonly accepted educational settings, involving normal educational 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.
- 2. Exempt Category 2:** Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior. Research involving these procedures is exempt, if:
- a) The information obtained is recorded in such a manner that subjects cannot be identified, directly or through identifiers linked to the subjects; **and**
 - b) Any disclosure of the subject's responses outside of the research could not reasonably place the subject at risk of criminal or civil liability or be damaging to the subject's financial standing, employability, or reputation
- 3. Exempt Category 3:** Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior that is not exempt under Category 2. Research involving these procedures is exempt, only if:
- a) The subjects are elected or appointed public officials or candidates for public office; **or**
 - b) Federal statute(s) require(s) without exception that confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

- 4. Exempt Category 4:** Research involving collection or study of existing data, documents, records, or specimens, **if:**
- a) These sources are publicly available; **or**
 - b) The information is recorded by the researcher in such a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

Signature of Principal Investigator

Date

Signature of Faculty Advisor (if needed)
