**Supplemental Form for**

**Exemption Category 2**

**Surveys, Interviews, Educational Tests, or Observation**

This exemption covers research that only includes interactions involving educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior (including visual or auditory recording)

**Protocol/Project Title** Click or tap here to enter text.

**Principal Investigator Name** Click or tap here to enter text.

**Faculty Sponsor Name (if applicable)** Click or tap here to enter text.

1. **Please check only one of the following Exempt 2 criteria you are applying for:**

[ ]  (i) **The information obtained is recorded by the investigator in such a manner that the identity of the human subjects cannot readily be ascertained, directly or through identifiers linked to the subjects.**

[ ]  (ii) **The information obtained is recorded by the investigator in such a manner that the identity of the human subjects can readily be ascertained, directly or through identifiers linked to the subjects.**

*(Any disclosure of the human subjects' responses outside the research would not reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, educational advancement, or reputation.)*

[ ]  (iii) **The information obtained is recorded by the investigator in such a manner that the identity of the human subjects can readily be ascertained, directly or through identifiers linked to the subjects, and an IRB conducts a limited (expedited) IRB review to make the determination required by § \_\_.111(a)(7).**

*(Disclosure of the responses outside the research could reasonably place the subjects at risk therefore, criterion (2)(iii) requires a limited IRB review to determine that adequate provisions are in place to protect the privacy of subjects and the confidentiality of data. It may not be applied to research involving children under subpart D.)*

1. **Confirm that your research involves the collection of information ONLY using one or more of the following:**
* **Surveys** (information collected through questionnaires, in person or online)
* **Interviews**
* **Focus Groups**
* **Educational Tests** (cognitive, diagnostic, aptitude, achievement)
* **Observation of public behavior** (e.g. a public place where there would not be an expectation of privacy such as a public street or park but not a public school, a business, or a hospital)

[ ]  **No, my project involves additional procedures (e.g. intervention, data linking, biospecimen collection**. [The project does not qualify for Exemption 2, however, Exemption 3 may apply.]

[ ]  **Yes, my project involves ONLY one or more of these information collection methods.**

(continue to 1a)

**1.a. Does the research involve children?**

[ ] **Yes** (continue to 1b)

[ ] **No** (continue to 3)

**1.b. Is the interaction with children limited to educational tests, or observation of public behavior where the investigator does not participate in the activity being observed?**

[ ] **Yes** (continue to 1.c.)

[ ] **No** [The project does not qualify for Exemption 2, however Exemption 1 may apply.]

**1.c. Does the research with children include interventions in addition to the educa tional tests, survey or interview procedures, or observation of public behavior.**

[ ] **Yes** [The project does not qualify for Exemption 2]

[ ] **No** (continue to 3)

1. **Does the research involve populations that simply by participating in the study may result in an increased risk of harm from disclosure?** (e.g. undocumented individuals, people who have not yet identified publically that they are LGBTQIA)

[ ] **Yes** [The project does not qualify for Exemption 2.]

[ ] **No** (continue to 4)

**4. Does the research collect information about the subject in such a manner that their identity can be readily ascertained by the investigator, directly or through identifiers linked to the subjects?**  This means that the data are collected with direct identifiers (name, address, email, phone number, social security number, student ID, patient ID) or indirect identifiers, such as a code that can link back to the subject or data elements that could be combined to readily identify an individual (dates, employment history, etc.).

**Select one:**

[ ] **The participants is directly identifiable**

[ ] **The participant is indirectly identifiable (using a code to link back to participant)**

[ ] **The participant is not identifiable (e.g. anonymous).**

**5. Will the research generate information that, if revealed outside the research, could reasonably place the subjects at risk of criminal or civil liability, or damage their financial standing, employability, educational advancement or reputation?** This means that the research involves the collection of sensitive information, about the subject, such as information about illegal behaviors, mental health issues, sensitive health conditions (HIV, STDs), genetic information, or negative opinions/attitudes about employers or teachers. A disclosure of this information outside of the research (breach of confidentiality) could pose legal risks or risks of social stigmatization to the subjects.

**Select one:**

[ ] **The information is not sensitive.**

[ ] **The information is sensitive****. Please describe:** Click or tap here to enter text.

**6. Provide a brief summary of your research (include description of subject population, process for recruitment, study procedures, location of research).**

*If you are applying for Exemption 2iii the Research Data Management and Security Plan form is required to be submitted and attached to the Click record.*