



**CHECKLIST FOR EXEMPTION FROM ETHICAL REVIEW**

To the Principal Investigator,

Please describe or comment on how the assessment points were addressed by the study protocol. Indicate your conclusions under the "RECOMMENDATION".

| I. PROTOCOL INFORMATION (to be filled by the Principal Investigator) |                               |                                   |
|----------------------------------------------------------------------|-------------------------------|-----------------------------------|
| Date of Assessment: (mm/dd/yyyy)                                     | Protocol No.: (if applicable) | Version No. and effectivity date: |
| Title:                                                               |                               |                                   |
| Principal Investigator: (Last Name, First Name)                      |                               |                                   |
| Telephone No.:                                                       | Mobile No:                    | Email:                            |

| II. ASSESSMENT POINTS (to be filled by the Principal Investigator)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                |         |
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| <p>Research may be exempt from independent ethics committee (IEC) review if it meets the criteria in the National Ethical Guidelines for Health and Health-Related Research 2022 (NEGHHRR 2017/2022). Research posing more than minimal risk to participants will undergo expedited or full IEC review.</p> <p>Minimal risk is defined as harm no greater than that encountered in daily life or during routine medical, dental, or psychological examinations of healthy individuals.</p> <p>These exemptions apply regardless of participant age unless noted. Standard informed consent requirements (including waivers, alterations, and exceptions) apply to all research.</p> |                                                                                |         |
| A protocol may qualify for exemption if it satisfies the following conditions:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Assessment                                                                     | Comment |
| 1. The research activities present <u>no more than minimal risk</u> to human participants.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | <input type="checkbox"/> Applicable<br><input type="checkbox"/> Not Applicable |         |
| 2. Protocol neither involve human participants nor identifiable human tissue, biological samples, and data (e.g., meta-analysis protocols)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | <input type="checkbox"/> Applicable<br><input type="checkbox"/> Not Applicable |         |
| 3. Protocol for institutional quality assurance purposes, evaluation of public service programs, public health surveillance, educational evaluation activities, and consumer acceptability tests                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | <input type="checkbox"/> Applicable<br><input type="checkbox"/> Not Applicable |         |
| 4. Protocol that only includes interactions involving survey procedures, interview procedures, or observation of                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | <input type="checkbox"/> Applicable<br><input type="checkbox"/> Not Applicable |         |



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| public behavior (including visual or auditory recording) if the following criteria are met:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                |  |
| 5. There will be no disclosure of the human participants' responses outside the research that could reasonably place the participants at risk of criminal or civil liability or be damaging to their financial standing, employability, or reputation                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | <input type="checkbox"/> Applicable<br><input type="checkbox"/> Not Applicable |  |
| 6. The information obtained is recorded by the investigator in such a manner that the identity of the human participant cannot readily be ascertained, directly or through identifiers linked to the participant                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | <input type="checkbox"/> Applicable<br><input type="checkbox"/> Not Applicable |  |
| 7. Protocol that only involve the use of publicly available data or information                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | <input type="checkbox"/> Applicable<br><input type="checkbox"/> Not Applicable |  |
| 8. Protocol should follow the Institutional Data Privacy Policy in Research. ( <a href="https://www.dlshsi.edu.ph/data-privacy-policy-research">https://www.dlshsi.edu.ph/data-privacy-policy-research</a> )                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | <input type="checkbox"/> Applicable<br><input type="checkbox"/> Not Applicable |  |
| 9. The research involves one or more of the activities listed in the types of research below.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                |  |
| 9.1. Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as research on regular and special education instructional strategies, or research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods. (Both the procedures involve normal education practices and the objectives of the research involve normal educational practices.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | <input type="checkbox"/> Applicable<br><input type="checkbox"/> Not Applicable |  |
| 9.2. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior, UNLESS: <ul style="list-style-type: none"> <li>i. information obtained is recorded in such a manner that human participants can be identified, directly or through identifiers linked to the participants; and</li> <li>ii. any disclosure of the human participants' responses outside the research could reasonably place the participants at risk of criminal or civil liability or be damaging to the participants' financial standing, employability, or reputation.</li> </ul> <p><i>In addition: Application of this exemption category to research with children is limited to the use of educational tests or to observations of public behavior where the investigator does not participate in the activities being observed. It cannot be applied to projects involving surveys or interviews with children.</i></p> | <input type="checkbox"/> Applicable<br><input type="checkbox"/> Not Applicable |  |



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| <p>9.3. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observations of public behavior that is not exempt under type 9.2, IF:</p> <ul style="list-style-type: none"> <li>i. the human participants are elected or appointed public officials or candidates for public office; or</li> <li>ii. the law requires without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | <input type="checkbox"/> Applicable<br><input type="checkbox"/> Not Applicable |  |
| <p>9.4. Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available; or if the information is recorded by the investigator in such a manner that participants cannot be identified, directly or through identifiers linked to the participants. Research that neither involve human participants nor identifiable human tissue, biological samples, and data (e.g., meta-analysis protocols)</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | <input type="checkbox"/> Applicable<br><input type="checkbox"/> Not Applicable |  |
| <p>9.5. Research and demonstration projects that are conducted by or subject to the approval of national or local government department or agency heads, and which are designed to study, evaluate, or otherwise examine:</p> <ul style="list-style-type: none"> <li>i. public benefit or service programs;</li> <li>ii. procedures for obtaining benefits or services under those programs;</li> <li>iii. possible changes in or alternatives to those programs or procedures;</li> <li>iv. possible changes in methods or levels of payment for benefits or services under those programs.</li> </ul> <p><i>In addition:</i></p> <ul style="list-style-type: none"> <li>- The project is supported and authorized by a national or local government agency</li> <li>- The program under study delivers a public benefit or service (e.g. financial or medical benefit; or social, supportive, or nutritional services)</li> <li>- The research or demonstration project is conducted pursuant to specific statutory authority</li> <li>- There is no statutory requirement that the project be reviewed by a research ethics board or committee</li> <li>- The project does not involve significant physical invasions or intrusions upon the privacy of participants</li> </ul> | <input type="checkbox"/> Applicable<br><input type="checkbox"/> Not Applicable |  |



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| - The funding agency concurs with the exemption from institutional ethics review                                                                                                                                                                                                                                                                                                                                                                    |                                                                                |  |
| 9.6. Taste and food quality evaluation and consumer acceptance studies if:<br><br>i. wholesome foods without additives are consumed; or<br>ii. a food is consumed that contains a food ingredient at or below the level for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the relevant regulatory agencies of the Department of Agriculture and the Department of Health | <input type="checkbox"/> Applicable<br><input type="checkbox"/> Not Applicable |  |

| III. RECOMMENDATION (to be filled by the Principal Investigator)    |                                                      |
|---------------------------------------------------------------------|------------------------------------------------------|
| Recommendation:<br><input type="checkbox"/> Qualified for Exemption | <input type="checkbox"/> Not qualified for Exemption |
| Justification for the Recommendation:                               |                                                      |
| Signature over printed name:                                        | Date signed:                                         |

| IV. CHECKLIST VERIFICATION (to be filled up by DLSMHSI-IEC Staff)                                             |                   |
|---------------------------------------------------------------------------------------------------------------|-------------------|
| Date Received: (mm/dd/yyyy)                                                                                   | IEC Tracking No.: |
| Decision Point: (Accepted or Rejected)<br><input type="checkbox"/> Accepted <input type="checkbox"/> Rejected |                   |
| Reason for rejection:                                                                                         |                   |
| Verified complete by: (printed name and signature)                                                            |                   |