

**Protection of Human Subjects Assurance Identification/  
IRB Certification/Declaration of Exemption Form**

Instructions

**Box 1:** Check Request Type: Original (New Award) or Continuation (Do not check Exemption here)

**Box 2:** Check Type of Award Mechanism: Grant, Contract, Cooperative Agreement, Fellowship, or Other

**Box 3:** Insert **National Institute of Justice** as Name of Federal Department or Agency

**Box 4:** Insert Title of Application

**Box 5:** Insert Principal Investigator Name

**Box 6:** For Assurance Status of this Project, five options for response are provided:

Option 1) Assurance on file with HHS and IRB has approved.

(Please note that the Federalwide Assurance (FWA) number, its expiration date, and the IRB registration number should be provided here. The Certification of IRB review and approval citing 28 CFR Part 46 must also be provided.)

Option 2) Assurance on file with another Federal agency or department and IRB has approved. (NOTE: The FWA number, expiration date, and IRB registration number must be provided here. The Certification of IRB review and approval must also be provided.)

Option 3) No Assurance has been filed. The institution declares that it will provide and Assurance and Certification of IRB review and approval upon request.

**All applicants should check the third option unless the applicant has already submitted this research application to and received approval or exemption from an IRB with an Assurance on file.**

Option 4) Exemption Status: Pre-2018 Common Rule - Use this option ONLY if one of the exemptions listed in the DOJ Human Subjects Protection regulation 28 CFR Part 46 §101(b)1-4 applies. Your IRB approval of exemption memo must be provided, citing 28 CFR Part 46 and the specific exemption category.

Option 5) Exemption Status: This option does not apply to NIJ/OJP-funded awards since DOJ did not sign on to the 2018 Common Rule.

**Box 7:** For Certification of IRB Review, if an Assurance is on file (that is, if Option 1 or 2 was

selected in Box 6), complete the applicable response in Box 7 if IRB review and determination has occurred. If IRB review has not occurred, check the last option indicating IRB review is forthcoming.

**Box 8:** Comments: If the project does not involve human subjects, place the following statement in this box: “This project will not involve human subjects.” If the project does not involve human subjects and this statement is placed in Box 8, then there should be no other items checked in Boxes 6 & 7.

**Boxes 10-16:** Complete as indicated. The signing official must be a representative of the applicant institution, i.e., Director, Office of Sponsored Research or Chair, IRB, not the Principal Investigator. The form must be dated. Electronic signatures and dates are acceptable.