

Exempt Human Subjects Research

8 Exemptions

Consider

1

Meets the definition of human subjects research.

Exempt studies involve human subjects research: research involving a living individual about whom data or biospecimens are obtained/used/studied/analyzed through interaction/intervention, or identifiable, private information is used/studied/analyzed/generated

2

Meets the criteria of one of the following exemptions:



Exemption 1: conducted in an educational setting using normal educational practices*

*Cannot include any other procedures, such as collection of clinical data or biospecimens

Exemption 2: uses educational tests, surveys, interviews, or observations of public behavior*

*Limited IRB review may be required.

Exemption 3: benign behavioral interventions in adults*

*Limited IRB review may be required.

Exemption 4: involves the collection/study of data or specimens if publicly available, or recorded such that subjects cannot be identified*

* 46.104(d)(4)(iii) does not apply to Chapman since it is not a HIPAA-covered entity

Exemption 5: research or demonstration projects designed to study, evaluate, improve, or examine a public benefit or service program*

*Applies to projects that IRB itself administers

Exemption 6: taste and food quality evaluations

Exemption 7: storage of identifiable information or biospecimens for secondary research use. *Broad consent and limited IRB review are required*

*NOTE: Chapman does not use this exemption

Exemption 8: secondary research use of identifiable information or biospecimens. *Broad consent and limited IRB review are required*

*NOTE: Chapman does not use this exemption

Requirements:

- HS education
- Inclusion tracking for all except 4.

45 CFR 46

Requirements

- Limited IRB review for 7 & 8, and some study designs under 2 & 3.
- Broad consent for 7 & 8.

Cannot involve **prisoners**, unless includes a broader population that happens to include prisoners.

Cannot involve **children in:**

- Exemption 2 if investigators participate in the activity being observed or includes identifiable info, OR
- Exemption 3.



Exemption 1 (X1)

- ✓ Effectiveness of on-line training as supplement to regular instructional approach.
 - Effectiveness of activities to increase awareness of oral health delivered at a community science museum

- ✗ Testing a manual for parents to identify severe asthma symptoms
 - Evaluation of health education that includes collection and analysis of heart rate and body measurements from students

Exemption 2 (X2)

- ✓ Focus group of adult community members to discuss access to dental care
 - Questionnaire about outdoor exercise, including collection of participants' age and zip code (limited IRB review conducted)

- ✗ Substance abuse training for individuals engaged in illegal drug use, followed by a survey about the training
 - Investigator-led focus group of pre-teens to discuss bullying

Exemption 3 (X3)

- ✓ Study among young adults evaluating preferred snack foods following a television program
 - Study investigating text vs. voice message appointment reminders on self-reported annual physical appointment attendance

- ✗ Diet and physical activity intervention for people with diabetes
 - Examination reactions of participants during brief exposure to painful stimuli

Exemption 4 (X4)

- ✓ Patient data extracted from medical records without name or ID number every 6 months as follow up visits occur
 - A collaborator removes an aliquot of blood from coded samples. Aliquots are re-labeled to a random, non-linked code

- ✗ De-identified blood drawn from subjects for the study by a blood bank
 - Use of collaborator's coded tissue samples and the collaborator retains the code key

Exemption 5 (X5)

- ✓ Outcomes evaluation of NIH conducted mental health service program*

NOTE: Use of this exemption is rare

- ✗ Evaluation of U.S. state administered service program
 - Evaluation of investigator-sponsored diabetes intervention

Exemption 6 (X6)

- ✓ Evaluation of wholesome food preferences
 - Study looking at approved levels of an agricultural chemical on taste of vegetables

- ✗ Study evaluating novel food additives
 - Testing high doses of environmental contaminant on food taste

Exemption 7 (X7)

- ✓ Creating a dataset containing identifiers from a previous study to conduct future research*
 - saving blood samples from collaborator's study for a future research question*

*(Broad consent obtained and limited IRB review conducted.)

- ✗ Dataset containing identifiers from prior study stored for future research, with informed consent for study-specific research (no broad consent)

NOTE: Chapman does not use this exemption

Exemption 8 (X8)

- ✓ Using dataset from prior study containing identifiers to answer subsequent research question*
 - Using blood samples from collaborator's study for an additional research question*

*(Broad consent obtained and limited IRB review conducted.)

- ✗ Using blood drawn from subjects with study specific consent for future research question

NOTE: Chapman does not use this exemption

✓ = exempt ✗ = non-exempt

Please note: these are possible examples of exempt research accepted by IRB. Final determination of exemptions should be made in accordance with 45 CFR 46.