EXEMPT STATUS INFORMATION

WARTBURG COLLEGE: INSTITUTIONAL REVIEW BOARD

**Request for Exempt Status**: Read the following categories of exemption eligibility. Identify the proper exemption and complete the Request for Exempt Status Form (found on <https://info.wartburg.edu/Academics/Undergraduate-Research/Human-Subjects-Institutional-Review-Board>)

The exemptions below **do not apply** in the following cases:

1. The research utilizes deception or deceptive research strategies.
2. The research exposes the subjects to risk (discomfort, harassment, etc.) at higher levels than is typically encountered in daily life.
3. The research involves prisoners, those confined involuntarily or detained.

Exempt status is determined by Wartburg College’s Institutional Review Board and is not at the discretion of the primary investigator or his/her research assistants/students.

Research activities may be exempt if the involvement of human subjects is limited in one or more of the following categories. The following categories are identified by the Department of Health and Human Services, Office for Human Research Protections (OHRP): 45 CFR 46.101 as areas of exemption. Contact IRB chair ([irb@warburg.edu](mailto:irb@warburg.edu)) for specific exemptions regarding children.

**Category 1**: Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as:

1. research on regular and special education instructional strategies
2. research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

**Category 2:** Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, **unless:**

1. information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; **and**
2. any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation.

**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, **if**:

1. the human subjects are elected or appointed public officials or candidates for public office; **or**
2. Federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

**Category 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 subjects cannot be identified, directly or through identifiers linked to the subjects.

**Category 5:** Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine:

1. Public benefit or service programs
2. Procedures for obtaining benefits or services under those programs
3. Possible changes in or alternatives to those programs or procedures **or**
4. Possible changes in methods or levels of payment for benefits or services under those programs.

**Category 6:** Taste and food quality evaluation and consumer acceptance studies, (i) if wholesome foods without additives are consumed or (ii) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.