

## **Categories of Research That May Be Reviewed by through an Expedited Review Procedure**

Research activities that (1) present no more than minimal risk to human subjects, and (2) involve only procedures listed in one or more of the following categories, may be reviewed by the IRB through the expedited review procedure:

- (1)** Clinical studies of drugs and medical devices only when condition (a) or (b) is met.
  - (a) Research on drugs for which an investigational new drug application is not required. (Note: Research on marketed drugs that significantly increases the risks or decreases the acceptability of the risks associated with the use of the product is not eligible for expedited review.) or
  - (b) Research on medical devices for which (i) an investigational device exemption application is not required; or (ii) the medical device is cleared/approved for marketing and the medical device is being used in accordance with its cleared/approved labeling.
  
- (2)** Collection of blood samples by finger stick, heel stick, ear stick, or venipuncture as follows:
  - (a) From healthy, non-pregnant adults who weigh at least 110 pounds. For these subjects, the amounts drawn may not exceed 550 ml in an 8-week period and collection may not occur more frequently than 2 times per week;
  - (b) From other adults and children, considering the age, weight, and health of the subjects, the collection procedure, the amount of blood to be collected, and the frequency with which it will be collected. For these subjects, the amount drawn may not exceed the lesser of 50 ml or 3 ml per kg in an 8-week period and collection may not occur more frequently than 2 times per week.
  
- (3)** Prospective collection of biological specimens for research purposes by noninvasive means. Examples:
  - (a) Hair and nail clippings in a non-disfiguring manner;
  - (b) Deciduous teeth at time of exfoliation or if routine patient care indicates a need for extraction;
  - (c) Permanent teeth if routine patient care indicates a need for extraction;
  - (d) Excreta and external secretions (including sweat);
  - (e) Uncannulated saliva collected either in an unstimulated fashion or stimulated by chewing gumbase or wax or by applying a dilute citric solution to the tongue;
  - (f) Placenta removed at delivery;
  - (g) Amniotic fluid obtained at the time of rupture of the membrane prior to or during labor;
  - (h) Supra- and subgingival dental plaque and calculus, provided the collection procedure is not more invasive than routine prophylactic scaling of the teeth and the process is accomplished in accordance with accepted prophylactic techniques;
  - (i) Mucosal and skin cells collected by buccal scraping or swab, skin swab, or mouth washings;
  - (j) Sputum collected after saline mist nebulization.
  
- (4)** Collection of data through noninvasive procedures (not involving general anesthesia or sedation) routinely employed in clinical practice, excluding procedures involving x-rays or microwaves. Where medical devices are employed, they must be cleared/approved for marketing. (Studies intended to evaluate the safety and effectiveness of the medical device are not generally eligible for expedited review, including studies of cleared medical devices for new indications.) Examples:
  - (a) Physical sensors that are applied either to the surface of the body or at a distance and do not involve input of significant amounts of energy into the subject or an invasion of the subject's privacy;
  - (b) Weighing or testing sensory acuity;
  - (c) Magnetic resonance imaging;
  - (d) Electrocardiography, electroencephalography, thermography, detection of naturally occurring radioactivity, electroretinography, ultrasound, diagnostic infrared imaging, doppler blood flow, and echocardiography;
  - (e) Moderate exercise, muscular strength testing, body composition assessment, and flexibility testing where appropriate given the age, weight, and health of the individual.
  
- (5)** Research involving materials (data, documents, records, or specimens) that have been collected, or will be collected solely for non-research purposes (such as medical treatment or diagnosis). (NOTE: Some research in this category may be exempt from the HHS regulations for the protection of human subjects. This listing refers only to research that is not exempt.)

(6) Collection of data from voice, video, digital, or image recordings made for research purposes.

(7) Research on individual or group characteristics or behavior (including, but not limited to, research on perception, cognition, motivation, identity, language, communication, cultural beliefs or practices, and social behavior) or research employing survey, interview, oral history, focus group, program evaluation, human factors evaluation, or quality assurance methodologies. (NOTE: Some research in this category may be exempt from the HHS regulations for the protection of human subjects. This listing refers only to research that is not exempt.)

(8) Continuing review of research previously approved by the convened IRB as follows:

(a) Where:

(i) the research is permanently closed to the enrollment of new subjects;

(ii) all subjects have completed all research-related interventions; and

(iii) the research remains active only for long-term follow-up of subjects; or

(b) Where no subjects have been enrolled and no additional risks have been identified; or

(c) Where the remaining research activities are limited to data analysis.

(9) Continuing review of research, not conducted under an investigational new drug application or investigational device exemption where categories two (2) through eight (8) do not apply but the IRB has determined and documented at a convened meeting that the research involves no greater than minimal risk and no additional risks have been identified.

**Categories of Human Research that are Exempt from the Common Rule (the UMCIRB must certify this Exempt designation)**

(1) Research conducted in established or commonly accepted educational settings, that specifically involves normal educational practices that are not likely to adversely impact students' opportunity to learn required educational content or the assessment of educators who provide instruction. This includes,

a. Most research on regular and special education instructional strategies, and

b. Research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) 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) if **at least one** of the following criteria is met:

a. 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, e.g. coding numbers;

b. Any disclosure of the human subjects' responses outside the research would not reasonably place the individual at risk of criminal or civil liability or be damaging to the person's financial standing, employability, educational advancement or reputation; or

c. 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 IRB review.

(3) Research involving benign behavioral interventions in conjunction with the collection of information from an adult subject through verbal or written responses (including data entry) or audiovisual recording if the subject prospectively agrees to the intervention and information collection and **at least one** of the following criteria is met:

a. 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;

b. Any disclosure of the human subjects' response 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; or

- c. 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 IRB review.

If the research involves deceiving the subjects regarding the nature or purpose of the research, this exemption is not applicable unless the subject authorizes the deception through a prospective agreement to participate in research in circumstances in which the subject is informed that he or she will be unaware or misled regarding the nature or purposes of the research.

**(4) Secondary research for which consent is not required:** Secondary research uses of identifiable private information or identifiable biospecimens, if **at least one** of the following criteria is met:

- a. The identifiable private information or identifiable biospecimens are publicly available;
- b. Information, which may include information about biospecimens, 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, the investigator does not contact the subjects, and the investigator will not re-identify subjects;
- c. The research involves only information collection and analysis involving investigator's use of identifiable health information when that use is regulated under 45 CFR parts 160 and 164, subparts A and E, for the purposes of "health care operations" or "research" as those terms are defined at 45 CFR 164.501 or for "public health activities and purposes" as described under 45 CFR 164.512(b); or
- d. The research is conducted by, or on behalf of, a Federal department or agency using government-generated or government-collected information obtained for non-research activities, if the research generates identifiable private information that is or will be maintained on information technology that is subject to and in compliance with section 208(b) of the E-Government Act of 2002, 44 U.S.C. 3501 note, if all of the identifiable private information collected, used, or generated as part of the activity will be maintained in systems of records subject to the Privacy Act of 1974, 5 U.S.C. 552a, and, if applicable, the information used in the research was collected subject to the Paperwork Reduction Act of 1995, 44 U.S.C. 3501 et seq.

**(5) Research and demonstration projects which are conducted or supported by a Federal Department or Agency or otherwise subject to the approval of department or agency heads, and that are designed to study, evaluate, improve or otherwise examine:**

- a. Public benefit or service programs (specifically, Social Security, Medicare, and Medicaid programs);
- b. Procedures for obtaining benefits or services under those programs;
- c. Possible changes in or alternatives to those programs or procedures; and
- d. Possible changes in methods or levels of payment for benefits or services under those programs.

**(6) Taste and food quality evaluation and consumer acceptance studies if**

- a. Wholesome foods without additives are consumed or
- b. 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 (FDA) or approved by the Environmental Protection Agency (EPA) or the Food Safety and Inspection Service of the U.S. Department of Agriculture (USDA).

**Please note:** The exempt categories above are applicable to Subpart D, which provides for additional protections of children involved as participants in research except for categories #2 and #3. Exempt category #2 (a) and (b) may apply to research in children involving educational tests or the observation of public behavior when the investigator(s) do not participate in the activities being observed. Exempt category #2(c) does not apply to research involving children.

**Please note:** The exempt categories above are not applicable to human research activities involving prisoners, except for research aimed at involving a broader subject population that only incidentally includes prisoners.