|  |  |  |  |
| --- | --- | --- | --- |
| When conducting research that falls within exempt category 4 as identified in the specific criteria and limitations according to 45 CFR 46.104 | | | |
| **Section A** | | | |
| 1. | This category has four stand-alone qualifications. Please check all that apply.  Data/Specimens are publicly available  Data is recorded such that the participants’ identity cannot be readily ascertained and there will be no contact with or attempts to re-identify participants.  The research is conducted by or on behalf of a federal department or agency using government data obtained for non-research and if identifiable, adheres to specified privacy standards. | | |
| 2. | Does the information involve the collection of any data that **cannot** be considered pre-existing data? | | No  Yes – **STOP, the research does not qualify for exempt Category #4; submit under Expedited Review** |
| 3. | Is the research aimed at collecting information exclusively from a prison population? | | No  Yes - **STOP, the research does not qualify for exempt Category #4; submit under Full Board Review** |
| 4. | Will information be obtained in such a manner that the identity of the participants **cannot** be readily ascertained directly or through identifiers linked to the participants? | | No – **STOP, the research does not qualify for Exempt Category #4; submit under Expedited Review**  Yes – **Complete 4a below** |
| 4a. | Will there be any contact with or attempts to re-identify participants? | No  Yes - **STOP, the research does not qualify for exempt Category #4; submit under Expedited Review** |
| 5. | Will academic records or a database with information originating from academic records be accessed? | | No  Yes – **STOP, the research does not qualify for exempt Category #4; submit under Expedited Review** |
| If after completing this appendix you have determined that your research does qualify for an exempt review under this category, please fill out the Protocol Application Form found on the IRB website under Forms (<http://www.sru.edu/offices/institutional-review-board/how-to-apply-to-the-irb>) and submit this appendix with your protocol.  You can receive submission guidance by emailing your questions to [irb@sru.edu](mailto:irb@sru.edu). | | | |

**Exempt Research Category 4 Appendix**