|  |
| --- |
| The purpose of this worksheet is to provide support for IRB members reviewing research regulated by specific federal agencies. This worksheet must be used. It does not need to be completed or retained. (LAR = “subject’s legally authorized representative”) |
|  |
| 1. Additional Criteria For Department of Justice (DOJ) Research Conducted within the Federal Bureau of Prisons (BOP) (Check if “Yes” or “N/A”. All must be checked)[[1]](#footnote-2)
 |
| [ ]  | The investigator and research staff are aware of and have been educated about the specific requirements of DOJ research within the BOP. |
| [ ]  | The project does not involve medical experimentation, cosmetic research, or pharmaceutical testing. |
| [ ]  | The research design is compatible with both the operation of prison facilities and protection of human subjects. |
| [ ]  | The investigator will observe the rules of the institution or office in which the research is conducted. |
| [ ]  | Investigators who are not BOP employees have signed a statement agreeing to adhere to the requirements of 28 CFR 512. |
| [ ]  | All research proposals will be reviewed by the BOP IRB. |
| [ ]  | The project has an adequate research design and will contribute to the advancement of knowledge about corrections. |
| [ ]  | The selection of subjects within any one institution is equitable. |
| [ ]  | Incentives will not be offered to help persuade inmate subjects to participate. Soft drinks and snacks to be consumed at the test setting may be offered. Reasonable accommodations such as nominal monetary recompense for time and effort may be offered to non-confined research subjects who are no longer in BOP custody and are participating in authorized research being conducted by BOP employees or contractors. |
| [ ]  | If a non-employee of the BOP will receive records in a form not individually identifiable, advance adequate written assurance that the record will be used solely as a statistical research or reporting record has been provided to the agency. |
| [ ]  | Except as noted in the consent statement to the subject, the investigator will not provide research information that identifies a subject to any person without that subject’s prior written consent to release the information. For example, research information identifiable to a particular individual cannot be admitted as evidence or used for any purpose in any action, suit, or other judicial, administrative, or legislative proceeding without the written consent of the individual to whom the data pertain. |
| [ ]  | Except for computerized data records maintained at an official Department of Justice site, records that contain non-disclosable information directly traceable to a specific person will not be stored in, or introduced into, an electronic retrieval system. |
| [ ]  | Required elements of disclosure include all of the following: |
| [ ]  Anticipated uses of the results of the research.[ ]  A statement that participation is completely voluntary and that the subject may withdraw consent and end participation in the project at any time without penalty or prejudice (the inmate will be returned to regular assignment or activity by staff as soon as practicable).[ ]  A statement that participation in the research project will have no effect on the inmate subject's release date or parole eligibility. | [ ]  Identification of the investigators.[ ]  A statement regarding the confidentiality of the research information and exceptions to any guarantees of confidentiality required by federal or state law. For example, a investigator may not guarantee confidentiality when the subject indicates intent to commit future criminal conduct or harm himself or herself or someone else, or, if the subject is an inmate, indicates intent to leave the facility without authorization.  |
| [ ]  | The investigator has academic preparation or experience in the area of study of the proposed research. |
| [ ]  | The IRB application includes a statement regarding assurances and certification required by federal regulations, if applicable. |
| [ ]  | The investigator will assume responsibility for actions of any person engaged to participate in the research project as an associate, assistant, or subcontractor to the Researcher. |
| [ ]  | For research conducted within the Bureau of Prisons:[ ]  The selection of participants within any one organization must be equitable.[ ]  Reasonable accommodations such as nominal monetary recompense for time and effort may be offered to non-confined research participants who are both:[ ]  No longer in Bureau of Prisons custody.[ ]  Participating in authorized research being conducted by Bureau employees or contractors.  |
|  |
| 1. Additional Criteria for Department of Justice (DOJ) Research Funded by National Institute of Justice (NIJ) (Check if “Yes” or “N/A”. All must be checked)
 |
| [ ]  | The investigator and research staff are aware of and have been educated about the specific requirements of DOJ research funded by NIJ. |
| [ ]  | Projects have a privacy certificate approved by the NIJ human subjects protection officer.  |
| [ ]  | All investigators and research Staff have signed employee confidentiality statements, which are maintained by the investigator. |
| [ ]  | The confidentiality statement on the consent document must state that confidentiality can only be broken if the subject reports immediate harm to subjects or others.  |
| [ ]  | Under a privacy certificate, investigators and research staff do not have to report child abuse unless the subject signs another consent document to allow child abuse reporting. |
| [ ]  | A copy of all data will be de-identified and sent to the National Archive of Criminal Justice Data, including copies of the informed consent document, data collection instruments, surveys, or other relevant research materials. |
|  |
| 1. Additional Criterion for the Environmental Protection Agency (EPA) Research and Research Intended to be Submitted to the Environmental Protection Agency (Check if “Yes” or “N/A”. All must be checked)
 |
| [ ]  | The research does not involve the intentional exposure of pregnant women, nursing women, or children to any substance. |
| [ ]  | If the results of research involving an intentional exposure of human subjects are intended to be submitted to or held for inspection by the Environmental Protection Agency (EPA) the IRB’s determinations and approval will be submitted to the Environmental Protection Agency (EPA) Human Subjects Research Review official for final review and approval before the research can begin. |
| [ ]  | If the research involves children, the research meets the criteria for either category #1 or #2 (Checklist: HRP- 416 Children) |
|  |
| 1. Additional Criterion for Department of Energy (DOE) Research (Check if “Yes”. All must be checked)
 |
| [ ]  | The “Checklist for IRBs to Use in Verifying That HS Research Protocols Are in Compliance with Department of Energy (DOE) Requirements” submitted by the investigator verifies compliance with Department of Energy requirements for the protection of Personally Identifiable Information. |
|  |
| 1. Additional Criterion for Department of Education (ED) Research (Check if “Yes” or “N/A”. All must be checked)
 |
| [ ]  | If prior consent[[2]](#footnote-3) or written documentation of consent or parental permission is waived, the research does NOT involving gathering information about any of the following:* Political affiliations or beliefs of the student or the student’s parent
* Mental or psychological problems of the student or the student’s family
* Sex behavior or attitudes
* Illegal, anti-social, self-incriminating, or demeaning behavior
* Critical appraisals of other individuals with whom respondents have close family relationships
* Legally recognized privileged or analogous relationships, such as those of lawyers, physicians, and ministers
* Religious practices, affiliations, or beliefs of the student or student’s parent
* Income (other than that required by law to determine eligibility for participation in a program or for receiving financial assistance under such program)
 |

|  |
| --- |
|  |
| 1. Additional Criteria for Department of Defense (DOD) Research (Check if “Yes” or “N/A”. All must be checked)[[3]](#footnote-4)
 |
| [ ]  | The investigator and research staff are aware of the specific DOD requirements listed in the Investigator Manual (HRP-103), SOP: NEW INFORMATION (HRP-024), and further defined by the research, and have been educated about these requirements. |
| [ ]  | The review has considered the scientific merit of the research.[[4]](#endnote-2) (WORKSHEET: SCIENTIFIC OR SCHOLARLY REVIEW [HRP-320]) |
| [ ]  | The research does **NOT** involve prisoners of war or detainees as subjects.[[5]](#endnote-3) |
| [ ]  | Military personnel will not be paid for research conducted while on duty.[[6]](#endnote-4) |
| [ ]  | Military personnel will not be paid from federal funds for research conducted while off duty. |
| [ ]  | If the research involves interventions or interactions with subjects[[7]](#endnote-5), consent will be obtained unless waived by ASD(R&E).[[8]](#endnote-6) |
| [ ]  | If the research involves interventions or interactions with cognitively impaired subjects, there is anticipated direct benefit to the subject. |
| [ ]  | If the research involves Prisoners, the convened IRB reviewed the research. (Review by the expedited procedure is not allowed.)[[9]](#endnote-7) |
| [ ]  | Superiors will not influence the decisions of their subordinates regarding participation in research. |
| [ ]  | Superiors will not be present at the time of recruitment and consent.[[10]](#endnote-8) |
| [ ]  | The disclosure regarding provisions for research-related injury follows the requirements of the DOD component. |
| [ ]  | When conducting multisite research, a formal agreement is required to specify the roles and responsibilities of each party including a Statement of Work (SOW) and specific assignment of responsibilities. |
| [ ]  | If the research involves a survey performed on DOD personnel, DOD approval will be obtained before the research commences. |
| [ ]  | Research involving fetal tissue must comply with the US Code Title 42, Chapter 6A, Subchapter III, Part H, 289g[[11]](#endnote-9). |
| [ ]  | For research involving more than Minimal Risk an independent research monitor has been appointed by name who:[[12]](#endnote-10) **(Check if “Yes”. All must be checked.)**[ ]  Has expertise consonant with the nature of risk(s) identified within the research protocol.[ ]  Is independent of the team conducting the research involving human subjects.[ ]  Can stop the research, remove individual subjects, and take steps to protect subjects until the IRB assesses the monitor’s report.[ ]  Will promptly report observations and findings to the IRB or other designated official.[ ]  Has an IRB approved written summary of duties, authorities, and responsibilities[[13]](#endnote-11) based on specific risks or concerns about the research.[ ]  Has confirmed in writing his/her duties, authorities, and responsibilities. |
| [ ]  | When research involves U.S. military personnel, policies and procedures include additional protections for military research participants to minimize undue influence. Superiors of service members (e.g., unit officers, senior NCOs, and equivalent civilians):[ ]  Are not permitted to influence the decision of their subordinates.[ ]  May not be present at the time of recruitment.[ ]  Have a separate opportunity to participate, when applicable.[ ]  When recruitment occurs in a group setting, the IRB shall appoint an ombudsman. |
| [ ]  | If recruitment is in a group setting: **(Check if “Yes”. Either must be checked.)**[ ]  Research involves greater than minimal risk: The IRB has appointed an ombudsman[[14]](#endnote-12) who is unassociated to the research and will be present during the recruitment to monitor that voluntary participation is clearly and adequately stressed and that information provided about the research is clear, adequate, and accurate. [ ]  Research involves minimal risk: The IRB has discussed and determined whether to appoint an ombudsman based in part on the subject population, the consent process, and the recruitment strategy. |
| [ ]  | If the research involves Human Subjects who are not U.S. citizens or personnel of the DOD, and is conducted outside the United States, its territories, and its possessions: **(Check if “Yes”. All must be checked.)**[ ]  The permission of the host country has been obtained and is documented.[ ]  The researcher will follow the laws, customs, and practices of the host country and the United States.[ ]  An ethics review by the host country, or local IRB with host country representation, will take place and approval will be documented. |
|  |

1. Implementation of Bureau programmatic or operational initiatives made through a pilot project and conducted with the Bureau of Prisons is not considered to be research. [↑](#footnote-ref-2)
2. Prior consent means prior consent of the student, if the student is an adult or emancipated minor; or prior written consent of the parent or guardian, if the student is an un-emancipated minor. Schools and contractors obtain prior written parental consent before minor students are required to participate in any survey, analysis, or evaluation funded by the Department of Education. [↑](#footnote-ref-3)
3. There might be specific DoD educational requirements or certification required by different DOD components and the DOD component may evaluate the education policies to ensure the personnel are qualified to perform the research based on the complexity and risk of the research. [↑](#footnote-ref-4)
4. The IRB may rely on outside experts to provide an evaluation of the scientific merit. [↑](#endnote-ref-2)
5. This includes any person captured, detained, held, or otherwise under the control of DOD personnel (military, civilian, or contractor employee). Such persons include: Enemy Combatant, Lawful Enemy Combatant, Unlawful Enemy Combatant, Enemy Prisoner of War, Retained Person., and Civilian Internee. Such persons do not include personnel of the DOD being held for law enforcement purposes. It does not include persons being held primarily for law enforcement purposes, except where the United States is the occupying power. This prohibition does not apply to activities covered by investigational new drug or investigational device provisions the purpose of diagnosis or treatment of a medical condition in a patient. Such treatment (e.g., an investigational new drug) may be offered to detainees with the detainees’ informed consent when the medical products are subject to FDA regulations investigational new drugs or investigational medical devices, and only when the same product would be offered to members of the U.S. Military Services in the same location for the same medical condition and only when consistent with established medical practice involving investigational drugs and devices. [↑](#endnote-ref-3)
6. Although federal personnel participating as human subjects in DOD-conducted research while on duty may be compensated up to $50 for each blood draw for scientific and research purposes in connection with the care of any person entitled to treatment at government expense, this IRB allows no such compensation when compensation is otherwise prohibited. Federal employees while on duty and non-Federal persons may be compensated for blood draws for research up to $50 for each blood draw. Non-Federal persons may be compensated for research participating other than blood draws in a reasonable amount as approved by the IRB according to local prevailing rates and the nature of the research. [↑](#endnote-ref-4)
7. Research involving a human being as an experimental subject is an activity, for research purposes, where there is an intervention or interaction with a living individual for the primary purpose of obtaining data regarding the effect of the intervention or interaction. Research involving a human being as an experimental subject is a subset of research involving human subjects. This definition does not include exempt research involving human subjects. [↑](#endnote-ref-5)
8. The requirement for consent may be waived by the ASD(R&E) if the following three conditions are met: (1) The research is necessary to advance the development of a medical product for the Military Services. (2) The research may directly benefit the individual experimental subject. (3) The research is conducted in compliance with all other applicable laws and regulations. The ASD(R&E) may delegate the waiver authority. [↑](#endnote-ref-6)
9. See [HRP 415 CHECKLIST Prisoners f](https://irb.ucdavis.edu/wp-content/uploads/HRP-415-CHECKLIST-Prisoners.docx)or additional requirements for DOD funded research involving prisoners. [↑](#endnote-ref-7)
10. When applicable, the superiors so excluded shall be afforded the opportunity to participate as human subjects in a separate recruitment session. [↑](#endnote-ref-8)
11. See: <http://codes.lp.findlaw.com/uscode/42/6A/III/H/289g> (This is the enabling statute for 45 CFR 46.205. Compliance with Subpart B complies with this statute.) See also: <http://codes.lp.findlaw.com/uscode/42/6A/III/H/289g-1>, and <http://codes.lp.findlaw.com/uscode/42/6A/III/H/289g-2> [↑](#endnote-ref-9)
12. The research monitor may be identified by an investigator or appointed by an IRB or IO for research involving human subjects determined to involve minimal risk. There may be more than one research monitor (e.g., if different skills or experiences are necessary). The monitor may be an ombudsman or a member of the data safety monitoring board. The Heads of the OSD and DOD Components may waive the requirement to have a research monitor on a case-by-case basis when the inclusion of a research monitor is not necessary to provide additional protections for human subjects. This waiver authority may be delegated to a DOD official, as described in the Component’s HRPP management plan, but not at or below the position of the institution’s DOD IO. [↑](#endnote-ref-10)
13. The duties of the research monitor shall be determined on the basis of specific risks or concerns about the research. The research monitor may perform oversight functions (e.g., observe recruitment, enrollment procedures, and the consent process for individuals, groups or units; oversee study interventions and interactions; review monitoring plans and UPIRTSO reports; and oversee data matching, data collection, and analysis) and report their observations and findings to the IRB or a designated official. The research monitor may discuss the research protocol with the investigators, interview human subjects, and consult with others outside of the study about the research. The research monitor shall have authority to stop a research protocol in progress, remove individual human subjects from a research protocol, and take whatever steps are necessary to protect the safety and well-being of human subjects until the IRB can assess the monitor’s report. Research monitors shall have the responsibility to promptly report their observations and findings to the IRB or other designated official. [↑](#endnote-ref-11)
14. The ombudsman may also be the research monitor. [↑](#endnote-ref-12)