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| 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]](#footnote-2) | | |
| 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) | | |
|  | 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 organization 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, an 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. | |
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| 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 subject’s protection officer. | |
|  | All investigators and research Staff have signed employee confidentiality statements, which are maintained by the investigator. | |
|  | Identification of the funding agency(ies). | |
|  | A statement describing the extent to which confidentiality of records identifying the subject will be maintained. For studies sponsored by the NIJ the subject should be informed that private, identifiable information will be kept confidential and will only be used for research and statistical purposes. If, due to sample size or some unique feature, the identity of the individual cannot be maintained, the participants need to be explicitly notified. If the researcher intends to disclose any information, the participant needs to be explicitly informed what information would be disclosed under what circumstances, and to whom. The participant must be informed of any risks that might result from this disclosure and must explicitly provide written consent prior to participating in the research. | |
|  | 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.  At least once a year, the researcher shall provide the Chief, Office of Research and Evaluation, with a report on the progress of the research.  At least 12 working days before any report of findings is to be released, the researcher shall distribute one copy of the report to each of the following: the chairperson of the Bureau Research Review Board, the regional director, and the warden of each institution that provided data or assistance. The researcher shall not include an abstract in the report of findings.  In any publication of results, the research shall acknowledge the Bureau’s participation in the research project.  The research shall expressly disclaim approval or endorsement of the published material as an expression of the policies or views of the Bureau.  Prior to submitting for publication the results of a research project conducted under this subpart, the research shall provide two copies of the material, for informational purposes only, to the Chief, Office of Research and Evaluation, Central Office, Bureau of Prisons. | |
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| 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 must either be:  observational research not involving greater than Minimal Risk or  observational research involving greater than Minimal Risk but presenting prospect of direct benefit. | |
|  | If the research involves intentional exposure of subjects to a pesticide, the subjects of the research must be informed of the identity of the pesticide and the nature of its pesticidal function. | |
|  | If the research involves the use of Broad Consent, the research can only be Exempt under category 7: Storage or maintenance for secondary research for which broad consent is required: Storage or maintenance of Identifiable Private Information or Identifiable Biospecimens for potential secondary research. | |
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| 1. Additional Criterion for Department of Energy (DOE) Research (Check if “Yes”. All must be checked) | | |
|  | For research that involves Personally Identifiable Information (PII), the investigator uses the “DOE Institutional Review Board Template for Reviewing Human Subjects Research Protocols that Utilize Personally Identifiable Information (PII)” and the protocol addresses the following DOE requirements:   * Keeping PII confidential. * Protecting PII/PHI during storage and transmission. * Releasing PII only under a procedure approved by the responsible IRB and DOE. * Using PII only for purposes of the IRB-approved project. * Handling and marking documents containing PII/PHI as “containing PII or PHI.” * Establishing reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of PII/PHI. * Making no further use or disclosure of the PII/PHI except when approved by the responsible IRB(s) and DOE, where applicable, and then only under the following circumstances: (a) in an emergency affecting the health or safety of any individual; (b) for use in another research project under these same conditions and with DOE written authorization; (c) for disclosure to a person authorized by the DOE program office for the purpose of an audit related to the project; (d) when required by law; or (e) with the consent of the participant/guardian. * Protecting PII/PHI data stored on removable media (CD, DVD, USB Flash Drives, etc.) network drives and stand-alone computers using encryption products that are Federal Information Processing Standards (FIPS) 140-2 certified. * Using passwords to protect PII used in conjunction with FIPS 140-2 certified encryption that meet the current DOE password requirements cited in DOE Guide 205.3-1:   + Minimum of twelve (12) non-blank characters   + Must contain a lowercase letter   + Must contain an uppercase letter   + Must contain a number or special character   + Must contain a nonnumeric in the first and last position   + Must not contain the user ID * Sending removable media containing PII, as required, by express overnight service with signature and tracking capability, and shipping hard copy documents double wrapped. * Encrypting data files containing PII that are being sent by e-mail with FIPS 140-2 certified encryption products. * Sending passwords that are used to encrypt data files containing PII separately from the encrypted data file, i.e. separate e-mail, telephone call, separate letter. * Using TLS 1.1 encryption methods or higher for websites established for the submission of information that includes PII * Using two-factor authentication for logon access control for remote access to systems and databases that contain PII. (Two-factor authentication is contained in the National Institute of Standards and Technology (NIST) Special Publication 800-63 Version 1.0.2 found at: http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-63-2.pdf. * Reporting the loss or suspected loss of PII immediately upon discovery to (1) the DOE funding office program manager, and (2) the applicable IRBs (as designated by the DOE program manager); if the DOE program manager is unreachable, immediately notify the DOE Joint Cybersecurity Coordination Center. * Classified projects that use PII/PHI must also comply with all requirements for conducting classified research. | |
|  | For classified human subjects research (in whole or in part):   * Exemptions (as per 10 CFR Part 745.101(b)) and expedited review are not used. If the research meets a particular exemption category it may be noted, but full IRB review is required. * A waiver of informed consent may only be granted by the convened IRB for minimal risk research that qualifies for exemption under 10 CFR §745.104. * The identity of the sponsoring Federal agency will be disclosed to subjects, unless the sponsor requests that it not be done, because doing so could compromise intelligence sources or methods; the research involves no more than minimal risk to subjects; and the IRB determines that by not disclosing the identity, the investigators will not adversely affect the subjects. * The informed consent document will state that the project is classified, and what that means for the purposes of that project, and what part of the research that applies to. * The IRB must determine whether the potential human subjects need access to classified information to make a valid informed consent decision. * Any IRB member can appeal an approval decision to the DOE IO, Secretary of Energy, Director of the Office of Science and Technology Policy (OSTP) or designee, and then the Director of National Intelligence (ODNI) or designee, in that order. The Director of OSTP (or designee), or the Director of National Intelligence (or designee) will review and approve or disapprove the research, or will convene or designate an IRB that is, to the extent possible, made up of unaffiliated members with the appropriate qualifications and clearance to approve or disapprove the research. * Information on each project that is classified and reviewed during that fiscal year, as well as the number of human subjects in each project, must be submitted annually (or in accordance with the directions and schedules provided by the appropriate HSP program manager) by the responsible HSP program managers. * If the IRB believes that the project can be thoroughly reviewed in an unclassified manner, a request for a waiver from the requirements of this Notice can be submitted. The study-specific waiver request must be signed by the IRB Chair, and reviewed and approved by the appropriate HSP Program Manager (and if the waiver request relates to an intelligence-related project, also the DOE Office of Intelligence and Counterintelligence (IN)). A list of waiver requests and the actions taken will be provided. * HSR that is classified, in whole or in part, must not be initiated without IRB approval. After IRB approval, the DOE IO reviews and determines whether he/she will approve/disapprove the project or brief the Secretary about the project prior to his/her approval/disapproval. | |
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|  | For research involving protected classes:   * Prisoners, children, and individuals with impaired decision making [*sic*] must be conducted in accordance with the appropriate Subpart(s) of 45 CFR §46. * Proper protections are in place for DOE/NNSA federal and/or contractor employees who may be subject to coercion or undue influence. DOE and DOE site employees are considered vulnerable subjects when participating in research and additional care must be taken to ensure their participation is truly voluntary (e.g., by ensuring they do not report to members of the research team) and that data collected about them is kept confidential. | |
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| 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) | |
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| 1. Additional Criteria for Department of Defense (DOD) Research (Check if “Yes” or “N/A”. All must be checked) | | |
|  | If the research involves more than one site conducting the same protocol, only one IRB is overseeing the research.  N/A. This study does not involve more than one research site conducting the same protocol. | |
|  | All researchers at non-DOD institutions are covered by their own institution’s FWA or by another institution’s FWA assurance through an Individual Investigator Agreement. | |
|  | The Institution is submitting the following to HRPO  Documentation that the IRB has approved the DoD-supported HSR, including scientific merit, amendments, and additional reviews.  Documentation of key investigators’ human research protection training.  IRB-approved protocol documents.  Current FWA and IRB registration numbers. | |
|  | The approval letter includes the following statements:  The IRB determined the HSR has scientific merit  The Investigator must notify HRPO of the following:   * IRB-approved changes to key investigators * Changes to institutions * Decreases in benefit to subjects * Increases in risk * The addition of vulnerable populations, or DoD-affiliated personnel as subjects * Transfer of HSR oversight to a different IRB * Notification by any federal body or foreign government that the DOD-supported HSR is under investigation * When a subject becomes pregnant in a study that was not approved under 45 CFR 46 Subpart B * When a subject becomes a prisoner in a study that was not reviewed under 45 CFR 46 Subpart C * Study closure | |
|  | The investigator and research staff are aware of the specific DOD requirements and have been educated about these requirements. | |
|  | The review has considered and documented the scientific merit of the research.[[3]](#endnote-2) | |
|  | When determining the level of risk, the IRB did not consider include the inherent occupational risks that certain subjects face in their everyday life, such as those:  (1) Encountered by Service members, law enforcement, or first responders while on duty.  (2) Resulting from or associated with high-risk behaviors or pursuits.  (3) Experienced by individuals whose medical conditions involve frequent tests or constant pain. | |
|  | This research involves human beings involved in an intervention or interaction done primarily for the research purpose of obtaining data about the effect of the intervention or interaction.  Yes  No  ***If yes is checked, one of the following must be checked:***  Informed consent is not waived for these subjects.  The research involves only minimal risk and the IRB waived one or more element of consent but required the consent process to include a statement that participation is voluntary and to describe the risks of participation.  The research qualifies for an exemption determination | |
|  | The research does **NOT** involve prisoners of war or detainees as subjects.[[4]](#endnote-3) | |
|  | If pregnant women are involved in the research, one of the following must be checked:  The research does not involve greater than minimal risk and pregnant women, fetuses, or neonates and includes interventions or invasive procedures  The research complies with 45 CFR 46 Subpart B except the phrase “biomedical knowledge is replaced with “generalizable knowledge.”  Not applicable. The research does not involve pregnant women. | |
|  | If the research involves prisoners as human subjects, the following must be checked:  A convened IRB must review the research (no expedited review)  The research complies with 45 CFR 46 Subpart C except the following two categories of research are permissible (a) Epidemiological research that meets the waiver criteria (See Federal Register Volume 68 pages 36929-36931 of Volume 68, Federal Register; or (b) The IRB approved HSR meets one or more exemption criteria and the IRB determined the research meets the requirements of 45 CFR 46 Subpart C  N/A prisoners are not included as subjects in this research | |
|  | If children are involved, the research complies with 45 CFR 46 Subpart D. Service members and all Reserve Component and National Guard members in a federal duty status are considered to be adults.  N/A. The research does not involve children | |
|  | Research involving interventions or interactions with cognitively impaired subjects ***All must be checked***  There is anticipated direct benefit to the subject.  Consent is obtained from the legally authorized representative.  The intent of research is to be beneficial to the subject. | |
|  | The consent form states that subjects may obtain treatment for research-related injuries at a military treatment facility until the study ends. | |
|  | 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. | |
|  | Research involving fetal tissue must comply with the US Code Title 42, Chapter 6A, Subchapter III, Part H, 289g[[5]](#endnote-4). | |
|  | **HSR involving DoD-affiliated personnel** | |
|  | Military personnel will not be paid for research conducted while on duty.[[6]](#endnote-5) | |
|  | Research Involving DoD-affiliated personnel as subjects: ***This section has two parts:***  ***Part 1 - At least one of the following must checked:***  The consent form describes any risks to the subjects’ fitness for duty (e.g. health, availability to perform job, data breach) and the subject is advised that they should obtain command or Component guidance before participating  N/A The research involves only minimal risk  N/A The research does not involve DOD-affiliated personnel as subjects  ***and***  ***Part 2 - At least one of the following must checked:***  The consent form includes a description of the potential risks for the revocation of clearance, credentials, or other privileged access or duty.  N/A The research does not present any potential risk to a clearance, credentials or other privileged access or duty  N/A The research does not involve DOD-affiliated personnel as subjects | |
|  | Research involving greater than minimal risk and recruits DoD-affiliated personnel in a group setting  ***If the last box isn’t checked, the first three boxes must be checked***  The IRB appointed an ombudsperson who does not have a COI with the research and is not part of the research team.  The ombudsperson will (a) be present and monitor recruitment and the informed consent process to ensure consent the activities are consistent with IRB-approved procedures and materials.  The ombudsperson will be available to address DoD-affiliated personnel’s concerns about participation.  N/A the research does not involve greater than minimal risk or does not recruit DOD-affiliated personnel in a group setting | |
|  | Research using large scale genomic data  ***At least one of the following must be checked:***  The HSR does not involve collection, sharing or analysis of large-scale genomic data  ***If the above is checked, the following box must be checked:***  The HSR protocol or other document includes administrative, technical, and physical safeguards commensurate with the risk.  ***One of the following must be checked***:  The HSR involves collection, sharing or analysis of large-scale genomic data from DoD-affiliated personnel and adheres to 42 U.S.C and Public Law 114-255, has or will undergo a DoD Component security review, and has or will receive DOHRP approval.  The HSR does not involve collection, sharing or analysis of large-scale genomic data from DoD affiliated personnel | |
|  | 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.[[7]](#endnote-6) | |
|  | If the research involves a survey performed on DOD personnel, DOD approval will be obtained before the research commences. | |
|  | 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.  The laws, customs, and practices of the host country and the United States will be followed.  Where differences in applicable standards exist, the standard that is most protective of human subjects will be applied.  An ethics review by the host country, or local IRB with host country representation, will take place. | |
|  | If the research is not conducted at a US site or at a DOD facility outside of the US, the Lead PI has provided written notification of the applicable HSR to the commands where the HSR is to be conducted or supported in their area of responsibility before the HSR proceeds.  N/A. Research is conducted within US or at a DOD facility outside of the US. | |
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| 1. Additional Criteria for Department of Defense (DOD) Research Involving Classified Information[[8]](#endnote-7) (Check if “Yes” or “N/A”. All must be checked) | | |
|  | The convened IRB approved the research. (Use of an expedited review procedure is prohibited.) | |
|  | The IRB has determined that potential subjects need access to classified information to make a valid, informed consent decision. | |
|  | The IRB has consulted with an expert on classified information. | |
|  | The research does not involve a waiver of informed consent. | |
|  | The informed consent includes a statement that representatives of the DoD are authorized to review research records. | |
|  | The informed consent process identifies DOD as the supporting institution of the research, unless the research involves no more than minimal risk or the Secretary of Defense has granted an exception. | |
|  | The informed consent includes a statement that the DoD or a DoD organization is funding the study. | |
|  | The informed consent process includes a statement that the research is classified and an explanation of the impact of the classification. | |
|  | Disclosure or use of classified information complies with the federal requirements for access to and protection of classified information. | |
|  | Secretary of Defense approval will be obtained.[[9]](#endnote-8) | |
|  | Any IRB member who disagrees with a majority decision approving a project will be allowed to appeal the decision to the Secretary of Defense.[[10]](#endnote-9) | |

1. This document satisfies AAHRPP elements I.1.A, I.1.D, I.1.F, I-2, I-3, I-9, II.2.D, II.2.F-II.2.F.3, II.2.I, II.3.B, II.3.C-II.3.C.1, II.3.E, II.3.F, II.3.G, II.4.A, II.4.B, II.4.C, III.1.C, III.1.E, III.1.F, III.2.C, III.2.D [↑](#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. The IRB may rely on outside experts to provide an evaluation of the scientific merit. [↑](#endnote-ref-2)
4. 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)
5. 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-4)
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-5)
7. When applicable, the superiors so excluded shall be afforded the opportunity to participate as human subjects in a separate recruitment session. [↑](#endnote-ref-6)
8. The IRB needs classified information for approval and oversight, subjects must be provided classified information as part of the consent process; or subjects will provide classified information during the course of the research. [↑](#endnote-ref-7)
9. Submit for approval from the Head of the OSD or DOD Component conducting or supporting the research. Coordinate with the ASD(R&E) and General Counsel of the Department of Defense after the IRB has approved the research. [↑](#endnote-ref-8)
10. Include the appeal in the submission to the Secretary of Defense. [↑](#endnote-ref-9)