Tulane University Human Research Protection Program
Guidance to Criteria for Institutional Review Board Approval

All research proposals that intend to enroll human subjects must meet federally mandated criteria before the research can be initiated. The criteria are based on federal regulations and the ethical principles discussed in the Belmont Report. In addition, all Tulane University HRPP Policies are to be met.

Before issuing approval, IRB reviewers complete criteria approval checklists which serve as a guide in applying the following criteria:

Risks to subjects are minimized:

- By using procedures that are consistent with sound research design and which do not unnecessarily expose subjects to risk, and
- Whenever appropriate, by using procedures already being performed on the subjects for diagnostic or treatment purposes, and
- By addressing the likelihood of harm and magnitude of harm encompassing physical, psychological, social, economic, and/or legal risks to the subjects.

Risks to subjects are reasonable in relation to:

- Anticipated benefits, if any, to subjects, and
- Importance of the knowledge that may reasonably be expected to result.

In evaluating risks and benefits, the IRB considers only those risks and benefits that may result from the research (as distinguished from risks and benefits of therapies that subjects would receive even if not participating in research). The IRB should not consider possible long-range effects of applying knowledge gained in the research (for example, the possible effects of the research on public policy) as among those research risks that fall within the purview of its responsibility.

The IRB also considers the professional qualifications and resources of the research team.

Selection of subjects is equitable.

In making this assessment, the IRB takes into account the purposes of the research and the setting in which the research will be conducted and is particularly cognizant of the special problems of research involving vulnerable populations, such as children, prisoners, pregnant women, fetuses, neonates, decisionally impaired/challenged persons, or economically or educationally disadvantaged persons.

Informed consent will be sought from each prospective subject or the subject's legally authorized representative unless this requirement is waived by the IRB.

Informed consent is a process. To minimize coercion, the IRB considers the circumstances under which consent is obtained including but not limited to: timing, relationship between prospective subject and individual obtaining informed consent, language used to recruit prospective subjects, and qualifications of individual obtaining informed consent. Also, informed consent, whether oral or written, may not include any exculpatory language through which the subject is made to waive or appear to waive any of the subject's legal rights, or releases or appears to release to the investigator, the sponsor, the institution, or its
agents from liability for negligence. Compensation language to accommodate industry sponsored research protocols may be considered on a case-by-case basis.

**Informed consent will be appropriately documented as required by local, state and federal regulations unless the requirement is waived by the IRB.**

Documentation of informed consent is also important. The IRB informed consent form template is designed to ensure that documentation of informed consent includes federally mandated basic and additional elements of informed consent.

No informed consent, whether oral or written, may include any exculpatory language through which the subject is made to waive or appear to waive any of the subject’s legal rights, or releases or appears to release the investigator, the sponsor, the institution, or its agents from liability for negligence.

**When the study is greater than minimal risk, clinical research, or a NIH funded/FDA regulated clinical trial, the research plan makes adequate provision for monitoring the data collected to ensure the safety of subjects.**

The IRB reviews, if applicable:

- Procedures for promptly detecting harm and mitigating potential injuries.
- Implementation of monitoring procedures and frequency.
- Procedures to ensure adequate feedback of information to researchers and medical decision-makers.
- Procedures for ensuring appropriate reporting of findings to the IRB.
- Procedures for reporting temporary or permanent suspensions of study to the appropriate entity (i.e. funding agency) and the criteria for suspension or termination of the study.
- Any quality control measures to ensure protocol adherence.
- Procedures and plans for communications such as protocol modifications, data safety monitoring reports and unanticipated problems between sites when research is part of a multicenter study in which Tulane University is the coordinating institution or a Tulane investigator is the lead investigator.

**Where appropriate, there are adequate provisions to protect the privacy of subjects and to maintain the confidentiality of data.**

The IRB reviews, if applicable:

- The methods used to identify and contact potential human subjects.
- The settings in which an individual will be interacting with an investigator.
- The appropriateness of all personnel present for research activities.
- The methods used to obtain information about subjects.
- The nature of the requested information.
- Information that is obtained about individuals other than the “target subjects,” and whether such individuals meet the regulatory definition of “human subject” (e.g. a subject provides information about a family member for a survey).
- Privacy guidelines developed by relevant professional associations and scholarly disciplines (e.g. oral history, anthropology, psychology).
- How to access the minimum amount of information necessary to complete the study.
• The long-range plan for protecting the confidentiality of research data, including a schedule for destruction of identifiers associated with the data.
• The consent form and other information presented to potential research subjects to ensure limits to confidentiality are clearly and adequately described.
• The informed consent process and the informed consent document, and if applicable, the HIPAA authorization form, to ensure that subjects are informed regarding who will have access to the subject’s information and under what circumstances data may be shared (i.e. government agencies, sponsors).

When appropriate, additional safeguards have been included in the study to protect the rights and welfare of subjects vulnerable to coercion or undue influence.

When some or all the subjects, such as children, prisoners, decisionally challenged persons, or economically or educationally disadvantaged persons, are likely to be vulnerable to coercion or undue influence or for subjects found at international sites, the IRB should consider whether additional safeguards have been included in the study, to protect the rights and welfare of these subjects.

Advertisements and Recruitment Incentives:

The IRB reviews the recruitment procedures and materials according to FDA recommendations.

Payment and/or cost to Research Subjects:

At a minimum, the IRB considers the following for appropriateness when applicable:

• Proposed payment(s) to research subjects as outlined in the informed consent document and research description of the IRB application.
• How the payment(s) will be prorated to compensate the subjects’ time for participation, or if the subject withdraw before completion of the study.
• Costs for care, drugs/devices, or any research procedures that will be the subject’s responsibility as a consequence of participating in the research.

Approval from external institutions:

The IRB ensures that written approval is obtained from an authorized official of any institution external to the university from where subjects may be recruited or research procedures conducted.