

Issuing Department: Human Subjects Protection Program (HSPP)
Policy Number: 2011-009.14
Policy Title: Institutional Review Board - Human Subject Research Determinations

Purpose

The purpose of this policy is to describe the authority and role of the HSPP / IRB as related projects that do not involve human subjects and / or that do not involve research.

Definitions

See policy 2011-007.0 for definitions of the following terms:

Clinical Investigation (FDA) Non-compliance, Serious	Human Subject Research	IRB Approval
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Policy

The authority of the HSPP and IRB does not extend to projects that do not involve human subjects or to projects that involve humans but do not constitute research.

If a UConn Health faculty member, employee or student is considering a project that involves human interactions, human materials and / or human data that s/he does not believe constitutes research involving human subjects, s/he is **strongly** encouraged to complete the Human Subject Research Determination Form. Individuals may use this form to self-determine that the project does not constitute human subject research. The same form may also be used to seek a formal determination from the HSPP/IRB. If a formal determination is sought, a representative of the HSPP/IRB (e.g. Regulatory Specialist, Research Compliance Monitor, Educational Specialist, IRB Program Support Staff or member of the IRB) will review the information and will make an official determination.

Any project determined to be human subject research, including exempt research, must be reviewed and approved by the IRB prior to implementation. If such projects are undertaken without IRB review because the investigator believed the project did not constitute human subject research, but it is later deemed as such, the convened IRB will review the scenario and may determine that conducting the project without IRB approval constitutes serious non-compliance.

Example scenarios of when it is strongly encouraged that an individual complete the determination form prior to starting a project include, but are not limited to quality improvement projects, classroom projects, program evaluations and surveillance activities, case reports, research on decedents.

If a project does not constitute research involving human subjects, individuals may still be obligated to comply with other relevant regulations. For example, for research on decedents, investigators must comply with HIPAA (Refer to policy 2011-014.0).

Procedure

The IRB Administrator will log receipt of such forms and forward them to a representative of the HSPP/IRB for review and determination. While it is expected that the RS will make the majority of such determinations, other representatives of the HSPP/IRB may also make such determinations.

However, if a waiver of HIPAA is required, the determination is to be made by a member of the IRB who will also approve the HIPAA waiver.

The assigned reviewer will review the applicable form and document his/her final determination as to whether a project constitutes human subject research.

- The reviewer may request additional information if necessary
- If the reviewer determines the project does not constitute human subject research the HSPP / IRB will have no further involvement.
- If the reviewer determines the project does constitute human subject research, the investigator will be instructed that a complete IRB application will be required.

In all cases, the reviewer will return the reviewed form back to the IRB Administrator who in turn will email the outcome of the review to the individual who filed the form.

The review and determination process should be completed within approximately 10 days of receipt.

Related Content

2011-007.0 – Definitions Applied to Policy

2011-014.0 - HIPAA

Basis

Office For Human Research Protections (OHRP) Frequently Asked Questions on Quality Improvement
<http://answers.hhs.gov/ohrp/categories/1569>

OHRP Decision Chart - <http://www.hhs.gov/ohrp/policy/checklists/decisioncharts.html#c1>

Document Attributes:

Date Created: 12/14/2017

Replaced Version: 6/14/2017

Reviewed and Approved By:

Richard H. Simn

12/14/2017

Richard Simon, MD
Director Human Subjects Protection Program

Date