IRB IRB Rubric

	IRB Response Yes	No
Is the study *exempt*?	☐	☐
Human/Nonhuman Research		
Will the study involve (human) participants?	☐	☐
Required Paperwork/Applications/Forms		
CITI, or equivalent, certificate	☐	☐
Completed IRB Application	☐	☐
Completed consent form(s) appear in an appendix.	☐	☐
All instrumentation, protocols, recruitment letters, permissions, correspondence, and other documentation appear in appendices. Click or tap here to enter text.	☐	☐
Completed proposal Click or tap here to enter text.	☐	☐
Supporting documentation Click or tap here to enter text.	☐	☐
Basic IRB Application Evaluation		
The Purpose of the Study, Supporting Literature, and Locations of Research appear to support generalizable research of value to stakeholders. Click or tap here to enter text.	☐	☐
Funding should be *internal* or *unfunded.* If externally funded, IRB shall request additional information. Click or tap here to enter text.	☐	☐
The study is not subject to FDA regulations, involve prisoners, or utilize HIPAA or other protected information. If identifiers exist, then IRB shall request a sample dataset and offer advice on removing identifiers. Click or tap here to enter text.	☐	☐
The study poses, at most, minimum (minimal) risk to participants. Minimal risk means that the probability and magnitude of harm or discomfort anticipated in the research are not greater in and of themselves than those ordinarily encountered in daily life or during the performance of routine physical or psychological examinations or tests. Click or tap here to enter text.	☐	☐
Are risks minimized? If so, how? If not, how could risks be minimized? Click or tap here to enter text.	☐	☐
Sampling offers a sound chance to collect the required data using a suitable sample. Click or tap here to enter text.	☐	☐
Is the selection of subjects equitable? See 45CFR46.111(a)(3). Click or tap here to enter text.	☐	☐
Minors, prisoners, university employees, and tribal populations are excluded. If tribal populations are included, then IRB shall request permission forms and other relevant information. Click or tap here to enter text.	☐	☐
Exclusions are unbiased and naturally delimit the sample. Click or tap here to enter text.	☐	☐
Recruiting and compensation do not rely on gifts, rewards, bribes, or other social or economic incentives. Click or tap here to enter text.	☐	☐
The written consent process is ethical and fits the participants and study. Click or tap here to enter text.	☐	☐

There are no conflicts of interest. See Financial Conflict of Interest: HHS Guidance (2004). Click or tap here to enter text.	☐	☐
IRB Application is (electronically) signed and dated. Click or tap here to enter text.	☐	☐
Confidentiality and Protections		
Process in place to maintain participant confidentiality—whether the collection is in person and/or virtual as well as during and after concluding the study. Click or tap here to enter text.	☐	☐
Investigator manages, maintains, and secures all data. Click or tap here to enter text.	☐	☐
Justice and Privacy Considerations		
Are privacy and confidentiality adequately protected? Click or tap here to enter text.	☐	☐
(If applicable) Might the payment constitute undue influence to participate for economically-disadvantaged subjects 45CFR46.111(b))? Click or tap here to enter text.	☐	☐
Informed Consent and Safety		
The consent form is complete and easy to understand. Click or tap here to enter text.	☐	☐
The study utilizes a sound and simple consent process. Click or tap here to enter text.	☐	☐
Consent is completed before collecting data. Click or tap here to enter text.	☐	☐
The consent process manages special data such as video, audio, and images. Click or tap here to enter text.	☐	☐
HIPAA and/or other protected data is not collected. Click or tap here to enter text.	☐	☐
Consent remains mindful of the safety of participants, investigators, and relevant parties. Click or tap here to enter text.	☐	☐
There appears little, or no chance, of errors in the administration of the consent process. Click or tap here to enter text.	☐	☐
There appears little, or no chance, for the realization of threats to the safety of the participants, investigators, and relevant parties. Click or tap here to enter text.	☐	☐
The consent form clearly discusses potential risks and benefits of being in the study. Click or tap here to enter text.	☐	☐
The consent form explains how data will be protected, including a statement about keeping records in a secure location for an extended duration. Click or tap here to enter text.	☐	☐
The consent form reports all relevant contact information. Click or tap here to enter text.	☐	☐
The consent form makes clear that participation is voluntary. Click or tap here to enter text.	☐	☐

The consent form has a clear/easy-to-use (digital or inked) signature line. Click or tap here to enter text.	☐	☐
The consent form utilizes the template consent form appearing in the dissertation template. Click or tap here to enter text.	☐	☐
Integrity Check		
The information in the application matches (or agrees with) the proposal and supporting documents. Click or tap here to enter text.	☐	☐
The information in the consent form and process matches (or agrees with) the proposal and supporting documents. Click or tap here to enter text.	☐	☐

Reviewer Determination

The IRB reviewer issues the following determination:

☐	The application and all documentation are APPROVED.
☐	The application and all documentation require revision and review (see *Reviewer Comments*)
☐	The application and all documentation are DENIED and have been referred to the IRB Chair (see *Reviewer Comments*).

Reviewer Comments

IRB Determination

The IRB has determined the following given the above requirements:

- ☐ The dissertation proposal meets all requirements. **IRB approval number is _____.** The investigator may now collect data per the IRB-approved proposed study.
- ☐ The dissertation proposal does not meet the above requirements (see checklists and comments).
- ☐ Usually, the inclusion of tribal populations (as indicated on the application) requires a denial of the study. However, upon review of the study, the interview questions, and the scope of the study, IRB believes such inclusion is acceptable for this study.
- ☐ You have been approved to use protected information/data. However, IRB may request to review your data (in all forms) to ensure compliance with the rules for de-identification. Further, IRB will review your completed dissertation to ensure no identifiers appear within the completed dissertation.
- ☐ Currently, you are exempt from most IRB rules because you are conducting nonhuman research. However, if you need to include people via interviews or surveys, at a later date, please inform IRB immediately to ensure IRB compliance.