

**Department:** UAMS Institutional Review Board  
**Policy Number:** 7.1  
**Section:** Procedures for Study Review  
**Effective Date:** July 31, 2002  
**Revision Date:** May 7, 2004; February 8, 2005; January 24, 2011; August 16, 2021

**SUBJECT: Criteria for IRB Approval of Research**

**Policy**

To approve research, the IRB must determine all of the regulatory criteria below are met. This requirement applies to reviews by the convened IRB or the expedited review process. These criteria must be used to approve research for initial review, continuing review and review of modifications.

IRB reviewers are trained on these criteria during initial orientation. They also have access to checklists in the IRB e-system, this policy, and to other resources to refer to when reviewing research.

**Approval Criteria**

**1. Risks to subjects are minimized:**

- a. By using procedures which are consistent with sound research design and which do not unnecessarily expose subjects to risk, and
- b. By using procedures already being performed on the subjects for diagnostic or treatment purposes, whenever appropriate.

**2. Risks to subjects are reasonable in relation to:**

- a. Anticipated benefits, if any; and
- b. The importance of the knowledge that may reasonably be expected to result.

In evaluating risks and benefits, the IRB should consider only those risks and benefits that may result from the research (as distinguished from risks and benefits from therapies that subjects would receive even if not participating in the 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.

**3. Selection of subjects is equitable.**

In making this assessment the IRB should take into account the purposes of the research, the setting in which the research will be conducted, the selection criteria, the recruitment procedures and should be particularly cognizant of the special problems of research involving vulnerable populations, such as children, prisoners, pregnant women, cognitively impaired or economically or educationally disadvantaged persons.

**4. To the extent required, informed consent will be sought** as described in IRB Policy 15.1 and any other relevant policies.

**5. To the extent required, informed consent will be documented** as described in IRB Policy 15.1 and any other relevant policies.

**6. When appropriate, the research plan makes adequate provision for monitoring the data collected to ensure the safety of subjects** as described in IRB Policy 7.8.

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

Privacy concerns people and confidentiality concerns data. In evaluating privacy and confidentiality measures, the IRB should consider how the Investigator will access information from or about participants.

**8. When appropriate, additional safeguards have been included in the study to protect the rights and welfare of subjects vulnerable to coercion or undue influence,** such as children, prisoners, pregnant women, mentally disabled, or economically or educationally disadvantaged persons. See Section 17 of the IRB Policies.

**REFERENCES**

45 CFR 46.111

21 CFR 56.111

UAMS IRB Policies