

# RESEARCH & DEVELOPMENT CHECKLIST FOR NEW HUMAN STUDIES

## IRB Submissions for FUNDED Nonregulated Research (QI, Program Evaluation, Implementation Research), Center infrastructure funding, and NonHuman Subject Determinations (de-identified data or specimen studies)

**Obtain IRB determination prior to submitting documents within IRBNet.**

Upload this combined CHECKLIST and STATEMENT OF COMMITMENT AND UNDERSTANDING and all other forms indicated below **(EXCEPT FCOI FORMS)** into IRBNet.

- |  |   |
|--|---|
| <input type="checkbox"/> Yes                             | <p>1. Project Cover Sheet (Start a Wizard on IRBNet Designer Page)</p> <p><i>*List all study personnel – <b>PI must ensure that listed VA personnel have obtained required VA research privileges. The VA does not allow residents/contractors/fellow/students to serve as the PI at the VA.</b></i></p>  |
| <input type="checkbox"/> Yes                             | 2. Abstract (IRBNet Template Library in STVHCS R&D Administration-Documents for Researchers)  |
| <input type="checkbox"/> Yes                             | 3. IRB Determination Letter – <a href="#">UTHSA IRB Forms</a>   |
| <input type="checkbox"/> Yes                             | 4. Research Protocol Safety Survey (IRBNet Template Library in STVHCS R&D Administration-Documents for Researchers)   |
| <input type="checkbox"/> Yes                             | 5. Funding notification (Letter, email etc.) & budget page  |
| <input type="checkbox"/> Yes                             | <p>6. Enterprise Research Data Security Plan (ERDSP) Template (IRBNet Template Library in VHA ORPP&amp;E, Washington, DC-Documents for Human Subjects Researcher)</p> <p><i>*Please note that Information Security Officer will only approve storage at the VA on the Research Service server (will be created for study after approval)... use following format: <a href="#">\\vhastxfpcres02\STX_Research_PI\PI_LastNameFirstInitial\ShortProjectTitle\Data</a> (as in: <a href="#">\\vhastxfpcres02\STX_Research_PI\PI_BrownJ\COVID\Data</a>) make sure this is consistently used in Privacy Checklist and IRB forms. Storage/sharing outside of STVHCS VA firewall requires either an “Agreement” (e.g., CRADA or DUA) or VA-Approved DUA (whether for data with PHI or without PHI).</i></p> |
| <input type="checkbox"/> Yes                             | <p>7. Privacy Checklist (IRBNet Template Library in STVHCS R&amp;D Administration-Documents for Researchers)</p> <p><i>*See Privacy Checklist Instruction Sheet – NOT required for VA CIRB study that has received review by National VA Privacy Officer – please note information must match draft copies of all IRB forms referenced on the Privacy Checklist in the “comments” boxes (e.g., consent, HIPAA authorization, HIPAA waiver, etc.)</i></p>  |
| <input type="checkbox"/> Yes <input type="checkbox"/> NA | <p>8. Material Transfer CRADA or Agreement <b>(for protocols that involve VA receiving materials from or providing materials to a third party (e.g., for profit entity, non-profit entity, and/or academic institution) – see VA ORD Technology Transfer page <a href="#">Forms, Templates and Model Agreements (va.gov)</a> and contact R&amp;D Office</b></p>   |

- ☐ Yes ☐ NA 9. Evaluation of Resources VA Employees-Union Approval (IRBNet Template Library in STVHCS R&D Administration)  
**(Required only if you will be including hospital staff in surveys or focus groups)**
- ☐ Yes ☐ NA 10. Evaluation of STVHCS Resources for Clinical Research (IRBNet Template Library in STVHCS R&D Administration) - For BRU and other applicable clinical resources e.g., Pharmacy, Path/Lab, Nursing, that will be required to support your research project
- ☐ Yes ☐ NA 11. RDC Non-Veteran Application - **if requesting to enroll non-Veterans at VA** (IRBNet Template Library in VHA ORPP&E, Washington, DC-Documents for Human Subjects Researcher)
- ☐ Yes ☐ NA 12. VA Form 10-5386, Investigator Data Sheet - **for Principal Investigator only, if this is first research proposal submitted at STVHCS** (IRBNet Template Library in STVHCS R&D Administration)
- ☐ Yes 13. Financial Conflict of Interest Forms - **for all PIs, Co-Investigators, & Sub-Investigators** (IRBNet Template Library in STVHCS R&D Administration) **Do not upload into IRBNet – email to [STXResearchService@va.gov](mailto:STXResearchService@va.gov) and [VAHumanResearch@uthscsa.edu](mailto:VAHumanResearch@uthscsa.edu).** An FCOI Acknowledgement Form will be uploaded by R&D Administration after FCOI forms are received by email

**STVHCS Study Site (check all that apply)**

- ☐ Audie Murphy Hospital  
☐ Kerrville Hospital  
☐ Balcones Heights VA Clinic  
☐ Beeville Clinic  
☐ Data Point VA Clinic  
☐ Frank Tejeda VA OPC  
☐ New Braunfels VA Clinic  
☐ North Central Federal VA Clinic  
☐ San Antonio VA Clinic  
☐ San Antonio-Northeast 410 VA Clinic  
☐ San Antonio-Southwest Military VA Clinic  
☐ Seguin VA Clinic  
☐ Shavano Park VA Clinic  
☐ South Bexar County Clinic  
☐ Victoria VA Clinic  
☐ Other: \_\_\_\_\_

**Statement of Commitment & Understanding (next page) – must be signed by PI and VA Service Chief or VA Section Chief**

**Project Title:** \_\_\_\_\_

**STATEMENT OF COMMITMENT AND UNDERSTANDING BY THE PRINCIPAL INVESTIGATOR FOR THE  
CONDUCT OF VA HUMAN SUBJECT RESEARCH**

Principal Investigators must understand their obligation to protect the rights and welfare of research subjects. The following highlights continuing responsibilities of the Principal Investigator in the conduct of VA research. While this list is comprehensive it is not all inclusive and the principal investigator is encouraged to consult the STVHCS R&D Office, the UTHSCSA IRB Office, and other sources for additional information regarding National, State, and Institutional requirements.

- 1) Ensuring that the research protocol has sound design, minimizing risks to subjects while maximizing research benefits. Non-research procedures and data should be used to avoid adding risk or inconvenience to the subject when possible.
- 2) Conducting the study in such a way as to protect the rights and welfare of human subjects, in accordance with the principles, standards, and requirements set forth in the *Belmont Report: Ethical Principles and Guidelines for the Protection of Human Subjects of Research*, U.S. Department of Health and Human Services regulations, and any other applicable National, State, or Institutional laws or regulations.
- 3) Conducting the study and enrolling subjects in accordance with the IRB and R&D approved current protocol and making changes to the protocol only with approval of the sponsor (if any), IRB, and R&D Committee, except in emergent situations when the changes are necessary to protect the safety, rights or welfare of subjects.
- 4) Ensuring that research subjects are fully informed of the investigational purpose of the study and the potential risks, and that all requirements relating to the adequacy of both the informed consent document and the informed consent process, including its documentation, are met.
- 5) Exercising effective oversight of all activities related to the protocol and ensuring that all research personnel involved in the conduct of the study are informed about their responsibilities, have been appropriately trained, and work within their approved Scope of Practice.
- 6) Ensuring appropriate data safety and monitoring for the protocol, monitoring of subjects for potential harm, promptly modifying the research design to mitigate any potential risks, and reporting any changes in the risk-benefit ratio to the IRB.
- 7) Ensuring that resources are adequate to effectively and safely perform the research as described in the protocol.
- 8) Reporting to the sponsor and the IRB any unanticipated problems involving risk to subjects or others (UPIRSO) that occur in the course of the research as defined by and in compliance with the [IRB UPIRSO policy](#)
- 9) Maintaining appropriate documentation (enrollment, research progress, and termination notes) in the subject's electronic medical record.
- 10) Maintaining adequate and accurate source documentation and regulatory records in accordance with the Sponsor's regulations and GCP. Records must be properly secured and available for inspection in accordance with applicable National and Institutional regulations.
- 11) Ensuring that VHA and STVHCS pharmacy regulations are followed if the study involves any test article, including that a drug or device has an IND or IDE or meets criteria for exemption. Conducting research involving FDA-regulated products in compliance with all applicable FDA regulations, and fulfilling all FDA-directed investigator (or Investigator-Sponsor) responsibilities (including maintaining an accurate FDA 1572 form when appropriate).
- 12) Ensuring that the privacy and personal information of research subjects and research data is protected and disclosures are accounted for according to VA, Federal, State, and Institutional regulations.
- 13) Ensuring timely submission of information to the IRB, R&D Committee, and Compliance Office so that effective oversight of the research is maintained.
- 14) Providing the R&D Office with all STVHCS Report of Clinical Research Monitoring Visit forms from all external study monitoring visits.
- 15) Disclosing any financial Conflict of Interest relevant to the study to the STVHCS Financial Conflict of Interest Administrator and the IRB.
- 16) Ensuring that recruitment of subjects is performed in a fair and equitable manner and in accordance with all IRB, STVHCS, VHA, and other federal regulations.
- 17) Reporting any concerns, complaints, allegations of research improprieties, or research misconduct to the R&D office, who will assure communication to the appropriate component of the HRPP.
- 18) Responding to participants' questions, concerns, and complaints in an efficient and appropriate manner.
- 19) Study data will be kept in accordance with the department of veterans affairs record control schedule 10-1 (RCS 10-1).

\_\_\_\_\_  
Typed Name of PI

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Typed Name of VA Service Chief or Section Chief

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date