The purpose of this checklist is to allow individuals to conduct a quality improvement self-assessment of IRB minutes.

IRB Number: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Meeting Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name of Person Completing Checklist: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date Completed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. **General Minutes Requirements**

Does the “Attendance Table” record each voting member (regular members and alternates) present at the meeting at any time?  Yes  No

Does the “Attendance Table” not record non-voting members under “Attendance Table?”  Yes  No

Does the “Attendance Table” record each member’s name?  Yes  No

Does the “Attendance Table” record which members were chairs or vice chairs?  Yes  No

Does the “Attendance Table” record each member’s status as an unaffiliated member or affiliated member?  Yes  No

Does the “Attendance Table” record each member’s status as a scientific member or non-scientific member?  Yes  No

When a member is a representative of vulnerable population, does the “Attendance Table” record that member’s representative capacity? (Prisoners, children, cognitively impaired adults)  Yes  No

Does the “Attendance Table” record for each alternate member the name of IRB member for whom alternate is substituting?  Yes  No

Does the “Attendance Table” record whether any members were present by teleconference and if so indicate them by name?  Yes  No

Do the minutes record the total number of members present on the current IRB roster excluding alternate IRB members?  Yes  No

Do the minutes correctly record the number of members required for a quorum? (Divide the number of members by two and select the next whole number. For example, if there are 10 IRB members on the roster, then 10/2 = 5 and the next whole number is 6. If there 11 IRB members on the roster, then 11/2=5.5 and the next whole number is 6.)  Yes  No

Do the minutes indicate whether members present by teleconference received all pertinent material before the meeting and were able to actively and equally participate in all discussions? (“N/A” if no members were present by teleconference)  Yes  No N/A

Do the minutes record the meeting start time?  Yes  No

Do the minutes record the meeting end time?  Yes  No

Do the minutes record a summary of each business item that was discussed?  Yes  No

1. **Requirements for Each Protocol Reviewed**

Do the minutes record a protocol ID?  Yes  No

Do the minutes record a protocol title?  Yes  No

Do the minutes record an investigator name?  Yes  No

Do the minutes record a type of review as either initial review, continuing review, or review of modifications to previously approved research?  Yes  No  N/A

If the minutes record a consultant report, does it summarize the key information provided the consultant? (“**N/A**” if there were no consultant reports)  Yes  No

Do the minutes record controverted issues (when the IRB members express a difference of opinion among themselves) and their resolution or indicate “None” or record using the “Controverted Issue/Resolution” table? If there was no resolution, indicate this.  Yes  No  N/A

If the minutes record controverted issues is there a “Controverted Issue/Resolution” table? (“**N/A**” if there were no controverted issues)  Yes  No  N/A

If the minutes record controverted issues does the “Controverted Issue/Resolution” table summarize the controverted issue? (“**N/A**” if there were no controverted issues)  Yes  No  N/A

If the minutes record controverted issues does the “Controverted Issue/Resolution” table include a resolution or a statement that there was no resolution? (“**N/A**” if there were no controverted issues)  Yes  No  N/A

Do the minutes record a motion as one of the following: Approved, Approved with Modifications, Deferred, Disapproved?  Yes  No

For initial or continuing review do the minutes record the period of approval for the motion?

Yes  No

Do the minutes record the vote as the number of members for, against, abstaining, absent, or recused?

Yes  No

Do the minutes list the names of IRB members who were absent or recused?  Yes  No

If both a regular IRB member and the alternate IRB member are present at the meeting do the minutes record the vote of just one? (“**N/A**” if both a regular IRB member and the alternate IRB member were not present at the meeting)  Yes  No  N/A

If both a regular IRB member and the alternate IRB member are present at the meeting do the minutes indicate which voted? (“**N/A**” if both a regular IRB member and the alternate IRB member were not present at the meeting)  Yes  No  N/A

Do minutes document the level of risk determined by the convened IRB as either minimal risk or more than minimal risk?  Yes  No

If the research involves waiver or alteration of consent, waiver of written documentation of consent, children, pregnant women, pregnant women, neonates, prisoners, or cognitively impaired adults do the minutes either say “See IRB Records” or include one of more of the “Determination/Protocol Specific Findings” tables in the TEMPLATE MINUTES (DOC 703)? (“**N/A**” if no research requiring documented findings was reviewed)  Yes  No  N/A

If the minutes say “See IRB records for this protocol” is the corresponding completed checklist(s) in the IRB records? (“**N/A**” if no research requiring documented findings was reviewed)  Yes  No  N/A

If the minutes include one of more of the “Determination/Protocol Specific Findings” tables , is the table completed? (“**N/A**” if no research requiring documented findings was reviewed)

Yes  No  N/A

Do minutes justify any deletion or substantive modification of information concerning risks or alternative procedures contained in the DHHS-approved sample consent document? (“**N/A**” if a DHHS-approved sample consent form was not reviewed)  Yes  No  N/A

Do minutes document modifications required to secure approval? (“**N/A**” if there were no modifications required to secure approval)  Yes  No  N/A

If a protocol was tabled, do the minutes indicate this and provide the reason for tabling? (“**N/A**” if there were no tabled protocols)  Yes  No  N/A

If a protocol was deferred or disapproved do the minute document the reasons? (“**N/A**” if there were no deferred or disapproved protocols)  Yes  No  N/A

If a protocol was deferred do the minute document recommended changes? (“**N/A**” if there were no deferred or disapproved protocols)  Yes  No  N/A

1. **Requirements for Each Problem Reviewed ( “N/A” if no problems were reviewed)**

Do the minutes describe the problem?  Yes  No

Do the minutes describe whether the problem was serious or continuing non-compliance, an unanticipated problem involving risks to subjects or others, or a suspension or termination of IRB approval?  Yes  No

Do the minutes record a protocol ID? (“**N/A**” if there were no specific protocol involved)  Yes  No  N/A

Do the minutes record a protocol title? (“**N/A**” if there were no specific protocol involved)  Yes  No  N/A

Do the minutes record an investigator name? (“**N/A**” if there were no specific investigator involved)  Yes  No  N/A

Do the minutes record controverted issues (when the IRB members express a difference of opinion among themselves) and their resolution or indicate “None” or record using the “Controverted Issue/Resolution” table. If there was no resolution, indicate this.  Yes  No  N/A

If the minutes record controverted issues is there a “Controverted Issue/Resolution” table? (“**N/A**” if there were no controverted issues)  Yes  No

If the minutes record controverted issues does the “Controverted Issue/Resolution” table summarize the controverted issue? (“**N/A**” if there were no controverted issues)  Yes  No  N/A

If the minutes record controverted issues does the “Controverted Issue/Resolution” table include a resolution or a statement that there was no resolution? (“**N/A**” if there were no controverted issues)  Yes  No  N/A

Do the minutes document the motion?  Yes  No

Do the minutes record the vote as the number of members for, against, abstaining, absent, or recused?  Yes  No

Do the minutes list the names of IRB members who were absent or recused?  Yes  No

If both a regular IRB member and the alternate IRB member are present at the meeting do the minutes record the vote of just one? (“**N/A**” if both a regular IRB member and the alternate IRB member were not present at the meeting)  Yes  No  N/A

If both a regular IRB member and the alternate IRB member are present at the meeting do the minutes indicate which voted? (“N/A” if both a regular IRB member and the alternate IRB member were not present at the meeting)  Yes  No  N/A

Is the sum total of the number of members for, against, abstaining, absent, or recused constant among votes and equal to the number of people listed in the attendance table?  Yes  No

1. **Minutes Efficiency**

Indicate the number of days between the meeting and the finalization of the minutes:\_\_\_\_\_\_\_\_\_\_\_\_