

**UAB Department of Psychology**  
**Departmental Policy: Scientific Review for IRB Submissions**  
**Effective: July 7, 2003**  
**Revised: February 1, 2009**

## Policy

In accordance with UAB Institutional Review Board (IRB) Policies and Procedures, scientific review of all new investigator-initiated research is required at the department level to replace the use of the Institutional Project Review Panel (PRP) process. This policy applies to all levels of IRB review - full, expedited, and exempt. Note that the UAB Gene Therapy Project Review Panel will continue to review all gene therapy protocols.

This departmental review process will be handled according to the following guidelines:

1. The Principal Investigator (PI) shall identify at least one expert reviewer, who is not an investigator or supervisor on the project, to review the research protocol and to provide comments and any recommendations for revision prior to IRB submission. The reviewers may be selected from within the department faculty or external to the department. The reviewers should have the appropriate expertise to review the protocol in relevant areas such as the scientific merit and design of the proposed research, use of human participants in psychological research, and health care or safety-related issues. **The PY 101 Subject Pool Coordinator should be included among the Reviewers of the project if the project will recruit from PY 101.** The Subject Pool Coordinator is Dr. Edwin Cook, III ([ecook@uab.edu](mailto:ecook@uab.edu)). The PI is responsible for making all appropriate contacts with potential reviewers in a timely fashion, and to provide them a copy of all necessary materials in order to have the review completed in time for submission to the department and to the IRB by the designated due date.
2. Forms. The Reviewer(s) should be provided with a complete copy of the protocol for review, consent form as needed, and all materials that will be submitted to the IRB. Please provide the reviewer (s) with the Reviewer Comment Form for the reviewer to complete and sign. This form is included in the *Psychology Scientific Review Policy and Forms* document that is available on the Departmental Resources page of the department's website <http://www.psy.uab.edu/departmentresources.htm>. The Reviewer(s) should provide written feedback to the PI on the Reviewer Comment Form. This process does NOT require that the Reviewer(s) and the PI meet individually or in a panel format. The PI shall complete the bottom of the Reviewer Comment Form by indicating that all reviewer comments and recommendations have been addressed, and then sign the form as well.
3. When the review and any revisions are completed, submit the entire packet (original) that includes the IRB Protocol Application and the Scientific Review Forms to the Psychology Program Director, Mary Frances Thetford, ([mthetford@uab.edu](mailto:mthetford@uab.edu)) in 415 Campbell Hall. Note that the *Department of Psychology Scientific Review Form* replaces the IRB's *Protocol Oversight Review Form* (PORF). The Program Director will review the materials for completeness and compliance verification and forward to the Chair of Psychology for final review and signature. Please allow at least 24-48 hours for this process to be completed. It is advised that you contact the Program Director by email at least two days in advance to notify of a forthcoming protocol for review.
4. The Department Chair will acknowledge by signature that the protocol has received the necessary reviews for IRB submission. You will be contacted by the Program Director that the paperwork is signed and ready for pick up, or delivery to the IRB Office.

## **Renewals for Departmental Scientific Review**

Scientific review of IRB renewals and amendments of protocols will not be necessary unless there are significant changes to the protocol, such as the addition of a new subject population or substantial modification to the protocol such as changing or adding an aim or analysis to an already approved study.

Note however that the addition or removal/replacement of key personnel on the protocol, including graduate students, does not require additional scientific review but does require a written notification to the IRB and these individuals should complete a Conflict of Interest form as needed.

## **Information regarding the conduct of human research by students**

**All Psychology students conducting research under the auspices of the Department of Psychology are required to obtain research approvals, including Scientific Review, from the Department of Psychology.** This applies to the situation where a student is conducting their research under the supervision of a non-psychology faculty member, or a secondary psychology faculty member in another department or physical location.

When a faculty investigator accepts/hires a student (undergraduate, high school, graduate student, or even volunteer students) to an approved research study who will be involved in “the design, conduct, analysis or reporting of research” or will obtain consent from the participants on the study, or receive payment from the grant account, this student(s) name should immediately be 1) placed on the research protocol by the Principal Investigator. The PI should complete the Project Revision/Amendment form and attach supporting documentation sent or received from the sponsor including the individual’s name, role, title of study, IRB approval no., etc.) and (2) provide IRB training prior to this student performing any work on the study.

### **Publication and Presentation of Data**

The study data is the responsibility of the approved Principal Investigator. **Students should not publish, present or report confidential data publicly without approval by the approved Principal Investigator.** Students preparing poster presentations for conferences or talks (in-house or outside the department) related to these data must obtain permission from their PI/faculty advisor prior to submitting to an outside forum. The student may serve as first author on these posters or presentations if they are listed on the IRB approved protocol, and also have received IRB training. The PI should be listed as a co-author. The sponsor should also be acknowledged on these presentations. Again, the student’s presentation may not be the result of any change to the data that is not IRB approved.

If an **undergraduate student** plans to use a subset of data for a secondary analysis on an already approved protocol with their mentor/ faculty advisor, for their own research, ie. undergraduate honor’s thesis, etc., they should submit their research as a separate IRB application from that of their mentor’s/faculty advisor; however the faculty advisor/mentor would be listed on the application. The PI would need to approve use of the existing data for this purpose.

Important! If a **graduate student** plans to use a subset of the existing data for their own research, or to conduct a secondary analysis for their own research that is not IRB approved, such as for their master’s thesis, or graduate dissertation, the student will need to submit their research as a **separate IRB application** from that of their mentor’s/faculty advisor ; however, the faculty advisory/mentor would be listed on the application as faculty advisor. The PI will need to approve use of the existing data, or as an

ancillary study to their protocol, for this purpose. Even if the student is named on the mentor's IRB application (as a co-investigator or in any other role), a separate protocol is required for their thesis or dissertation research (which should be their own idea). Any other approach should be approved by the IRB Office.

**Applying for Candidacy**

If the graduate student is applying for candidacy and the student is conducting a variation on a faculty member's/mentor's study, ie. asking a secondary question from a faculty member's already approved IRB study or grant, then the student will need to apply for their own separate IRB protocol application. The thesis or dissertation proposal should not be the same approved IRB application, or the same study title, as their faculty advisor/mentor. **If you are currently engaged in data collection for your thesis or dissertation and have NOT submitted the IRB application as a separate protocol, please get in touch with your program director or Mary Frances Thetford at 934-8728 as soon as possible.**