

Annual Administrative Review (AAR) Form

CONTINUATION REVIEW/FINAL REVIEW

0 unresolved
comment(s)

In accordance with federal regulations and/or local policies, the IRB conducts periodic review of all currently approved projects. If you need your IRB approval to continue and you do not complete and submit the required materials in a timely manner, IRB approval will expire at the end of your current approval period.

If you have any questions, please contact the Office of Research Integrity at 859-257-9428 or email IRBsubmission@uky.edu.

To initiate your continuation review (CR)/annual administrative review (AAR), or properly close your study, complete this section and update/correct all other sections of your IRB application as applicable.

IMPORTANT Before leaving this page to update other sections of your application, be sure to SAVE this section first.



1. Status of the Research

Check the statement(s) that best describe(s) the current status of your research:

- ☐ No subjects have enrolled to date.
- ☐ Recruitment and/or enrollment of new subjects or review of records/specimens continue.
- ☐ Study is closed to enrollment, but subjects still receive research-related interventions (e.g., treatment, blood draws).
- ☐ Study enrollment is permanently closed; subjects have completed all research-related interventions; and the study remains active only for long-term follow-up of subjects (see Tool Tip above for info on long-term follow-up of subjects).*
- ☐ Research has progressed to the point that it involves 1) Data analysis, including analysis of identifiable private information or identifiable biospecimens; and/or 2) Accessing follow-up clinical data from procedures that subjects would undergo as part of clinical care.*
- ☐ The remaining research activities are limited only to data analysis. There is access to records or specimens either directly or through codes or links to the data.*
- ☐ The remaining research activities are limited only to data analysis. There is no subject/record/specimen identifying codes or links to the data; the researcher or research team cannot readily ascertain the subject's identity.*
- ☐ All study activities are complete. IRB approval can be inactivated.

*Possibility that review will move from Full to Expedited.

2. If subjects have been enrolled within the last year, and the IRB approved a consent/assent form for your study:

Please attach a complete, signed copy for the last two subjects enrolled with **each** consent/assent form/HIPAA form since the last annual review.

(Example: If 3 different approved consent forms were used since the last annual review, please provide the two most recent signed copies of each version for a total of six.)

Attachments

3. Informed Consent

If the study is **open to subject enrollment**, please go to the **Informed Consent** section of the **E-IRB Application** and verify **attachment(s) include:**

- One clean copy in PDF (without the IRB Approval stamp) of the currently approved consent/assent document(s), or,
- If requesting changes to the consent/assent document(s), submit one copy with the changes highlighted (and designate Document Type as "Highlighted"), and one clean copy in PDF (without the changes highlighted).

If the study is **open to subject enrollment and the IRB has waived the requirement to document informed consent**, please go to the **Informed Consent** section of the **E-IRB Application** and verify **attachment(s) include:**

- One clean copy in PDF of the currently approved document used for the informed consent process (e.g., cover letter, phone script), or,
- If requesting changes to the consent/assent document(s), submit one copy with the changes highlighted (and designate Document Type as "Highlighted"), and one clean copy in PDF (without the changes highlighted).

If the study is **closed to subject enrollment**, please go to the **Informed Consent** section of the **E-IRB Application** and **remove Informed Consent Documents** designated to get an IRB approval stamp to avoid having them appear valid for enrollment.

4. Unanticipated Problems Involving Risk to Subjects or Others/Adverse Events Summary & Assessment

Did any **problems/adverse events** occur during the last 12 months?

☐ Yes ☐ No

In the space below, provide a written summary of both unanticipated problems* and available information regarding adverse events since the last review (e.g., initial review or annual/continuing review). The amount of detail provided in such a summary will vary depending on the type of research being conducted; in many cases, such a summary could be a brief statement that there have been no unanticipated problems and that adverse events have occurred at the expected frequency and level of severity as documented in the research protocol, the informed consent document, and investigator's brochure (if applicable). **The summary must include the PI's assessment whether the problems/adverse events warrant changes to the protocol, consent process, or risk/benefit ratio.**

Note: It is the IRB's expectation that all unanticipated problems involving risk to subjects or others or related deaths requiring prompt reporting are submitted in the appropriate time frame (See Policy [\[PDF\]](#)). Your response to this Annual/Continuing Review is considered assurance that all prompt reportable problems/adverse events have been submitted for IRB review.

*For multisite studies, the written summary should describe external events determined to be unanticipated problems involving risk to subjects or others.
