

# CHECKLIST: Neonates of Uncertain Viability

Document No.:	Edition No.:	Effective Date:	Page:
HRP-306	002	05 APR 2019	1 of 1

This checklist is used to determine and document whether non-exempt <Human Research> involving <Neonates of Uncertain Viability> can be approved.

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All criteria in 1 or 2 must be met

## 1. Research involving <Neonates of Uncertain Viability> as subjects *45 CFR §46.205*

1.1  Where scientifically appropriate, preclinical and clinical studies have been conducted and provide data for assessing potential risks to neonates

**i**

1.2  Individuals engaged in the research will have no part in determining the viability of a neonate

**i**

1.3  One of the following is true:

The research holds out the prospect of enhancing the probability of survival of the neonate to the point of viability, and any risk is the least possible for achieving that objective

The purpose of the research is the development of important knowledge which cannot be obtained by other means and there will be no added risk to the neonate resulting from the research

1.3.1  One of the following is true:

The research is not subject to DHS, EPA, or VA regulation and is not HHS-funded

The important knowledge is important biomedical knowledge

**i**

1.4  Each individual providing consent is fully informed regarding the reasonably foreseeable impact of the research on the neonate

**i**

1.5  The consent of either parent or, if neither parent is able to consent because of unavailability, incompetence, or temporary incapacity, the legally effective informed consent of either parent's LAR is obtained and documented in accordance with Sections 2 and 3 of "WORKSHEET: Criteria for Approval (HRP-400)", except that the consent of the father or his LAR need not be obtained if the pregnancy resulted from rape or incest

**i**

## 2. Research involving <Neonates of Uncertain Viability> as subjects that is not otherwise approvable *45 CFR §46.207*

2.1  The research does not meet the above requirements

**i**

2.2  The research presents a reasonable opportunity to further the understanding, prevention, or alleviation of a serious problem affecting the health or welfare of <Pregnant Women>, <Fetuses> or neonates

**i**

2.3  An official, after consultation with a panel of experts in pertinent disciplines and after opportunity for public review and comment, including a public meeting, has determined either that the research meets the above conditions or (1) The research presents a reasonable opportunity to further the understanding, prevention, or alleviation of a serious problem affecting the health or welfare of <Pregnant Women>, <Fetuses>, or neonates, (2) the research will be conducted in accord with sound ethical principles; and (3) consent will be obtained and documented as required. (see Footnote 2)

## 3. Notes

## 4. Footnotes

4.1 For DHS, EPA, HHS, or VA research the official is the Department Secretary. For DOD research, the official is the Director, Defense, Research, and Engineering. For federal research, the meeting is announced in the Federal Register. For all other research, the official is the <Organizational Official>.