

1.1 Certificates of Confidentiality

THIS SAMPLE HRPP/IRB SOP SECTION IS BASED ON 42 U.S.C. 241(d) AND RELATED REVISIONS TO [NIH POLICY](#) EFFECTIVE 10/1/2017. GUIDANCE HAS NOT YET BEEN ISSUED (as of 9/20/2017); THE CONTENT BELOW MAY NEED UPDATING ONCE GUIDANCE BECOMES AVAILABLE.

Certificates of Confidentiality (CoC) protect research information by prohibiting certain disclosures and conditioning others upon consent from the subject. The protections and requirements of CoCs are outlined in [42 U.S.C. 241\(d\)](#) and [NIH policy](#) (when applicable), and summarized below.

CoC's are obtained as follows:

- CoCs are issued automatically when research is conducted or supported by NIH and falls within the scope of the NIH policy.
- Research that is not funded by NIH (non-NIH research) may still have the protections afforded by CoCs through successful application to the NIH, FDA, or other authorized Federal agencies or departments.

Additional information about CoCs and the application process for non-NIH research is available on the [NIH CoC Website](#).

1.1.1 Definitions

Identifiable, sensitive information means information that is about an individual and that is gathered or used during the course of biomedical, behavioral, clinical, or other research and

1. Through which an individual is identified; or
2. For which there is at least a very small risk, as determined by current scientific practices or statistical methods, that some combination of the information, a request for the information, and other available data sources could be used to deduce the identity of an individual.

1.1.2 Protections and Requirements

When a CoC is issued, whether automatically or under an approved application, the person(s) engaged in the research must not disclose or provide the name of a subject or any information, document, or biospecimen that contains identifiable, sensitive information about the subject and that was compiled for the purposes of the research:

1. In any Federal, State, or local civil, criminal, administrative, legislative, or other proceeding, unless the disclosure is made with the consent of the individual to whom the information, document, or biospecimen pertains; or
2. To any other person not connected with the research, unless:

- a. Required by Federal, State, or local laws (e.g., adverse event reporting to the FDA, transmissible disease reporting required under State law), but excluding proceedings as described in “1” above;
- b. Necessary for the medical treatment of the subject to whom the information, document, or biospecimen pertains and made with the consent of the subject;
- c. Made with the consent of the individual to whom the information, document, or biospecimens pertains; or
- d. Made for the purposes of other scientific research that is in compliance with applicable Federal regulations governing the protection of human subjects in research.

Additional Protections

Identifiable, sensitive information protected under a CoC, and all copies thereof, are immune from the legal process, and shall not, without the consent of the individual to whom the information pertains, be admissible as evidence or used in any action, suit, or other judicial, legislative, or administrative proceeding.

Identifiable, sensitive information that has been collected under a CoC, and all copies thereof, are protected for perpetuity.

Nothing in the rule (42 U.S.C. 241(d)) may be construed to limit the access of a subject to information about himself or herself collected during the research.

When consent is obtained, the consent should inform subjects that a CoC is in place and describe the protections and limitations.

1.1.3 NIH Policy

The [NIH Policy on CoCs](#) applies to “*all biomedical, behavioral, clinical, or other research funded wholly or in part by the NIH, whether supported through grants, cooperative agreements, contracts, other transaction awards, or conducted by the NIH Intramural Research Program, that collects or uses identifiable, sensitive information*” that was commenced or ongoing on or after December 13, 2016.

CoCs are automatically granted, and the requirements of such must be complied with, whenever a NIH-funded activity falls within the scope of the policy. Investigators and institutions are responsible for determining when a NIH-funded activity falls within the scope of the policy.

NIH policy expands upon 42 U.S.C. 241(d) by explaining that NIH considers research in which identifiable, sensitive information is collected or used, to include:

- Human subjects research as defined in 45 CFR 46, including research determined to be exempt (except for exempt research when the information obtained is recorded in such a manner that human subjects cannot be identified or the identity of the human subjects cannot readily be ascertained, directly or through identifiers linked to the subjects);

- Research involving the collection or use of biospecimens that are identifiable to an individual or for which there is at least a very small risk that some combination of the biospecimen, a request for the biospecimen, and other available data sources could be used to deduce the identity of an individual;
- Research that involves the generation of individual level, human genomic data from biospecimens, or the use of such data, **regardless of whether the data is recorded in such a manner that human subjects can be identified or the identity of the human subjects can readily be ascertained;** or
- Any other research that involves information about an individual for which there is at least a very small risk, as determined by current scientific practices or statistical methods, that some combination of the information, a request for the information, and other available data sources could be used to deduce the identity of an individual, as defined in subsection 301(d) of the Public Health Service Act.

1.1.4 NIH CoC Policy Determination

(Describe the organizational process for determining when the NIH policy applies. the following language is sample but should be modified as appropriate for the organization. HRP recommends that this process (and overall policies for CoCs) sit outside of the HRPP because the activities covered by a CoC may not be subject to HRPP or IRB review or oversight.)

At [INSERT ORGANIZATION], Sponsored Programs Administration (SPA) staff will, in consultation with the investigator(s) (or Program or Project Director, if applicable), determine if the NIH policy applies to any NIH-funded activity. The questions outlined in the NIH policy will be used to guide the analysis. When it has been determined that the NIH policy doesn't apply, investigators (or Program or Project Directors, if applicable) are responsible for consulting with SPA whenever they are proposing changes to the NIH-funded activity that may impact or change the analysis.

The NIH policy includes additional responsibilities and requirements for internal controls and for ensuring that recipients of identifiable, sensitive information protected by a CoC understand that they are also subject to the requirements of subsection 301(d) of the Public Health Service Act. For additional information see [INSERT POLICY REFERENCE].

1.1.5 Application Procedures for non-NIH Research

Any person engaged in human subjects research that collects or uses identifiable, sensitive information may apply for a CoC. For most research, CoCs are obtained from NIH, an investigator may apply for a CoC through the NIH Institute or Center funding research in a scientific area similar to the project.

If the research is conducting a sensitive research project that is covered by the Agency for Healthcare Research and Quality (AHRQ) confidentiality statute ([42 U.S.C. section 299c-3\(c\)](#)) or the Department of Justice (DoJ) confidentiality statute ([42 U.S.C. section 3789g](#)), then a CoC may not be needed.

If there is an Investigational New Drug Application (IND) or an Investigational Device Exemption (IDE), the sponsor can request a CoC from the FDA.

CoCs may also be issued by other Federal agencies and departments, such as CDC, SAMSHA, or HRSA.

For more information, see the [NIH CoC Website](#).

1.1.6 IRB Review

(The language in this section should be adjusted so that it is consistent with organizational practice (e.g., form names, availability of template consent forms or standard language))

Investigators are responsible for clearly representing in the IRB submission that a CoC is in place, or that an application for CoC has been submitted. When the CoC application is in process or pending, the IRB may condition final approval upon its receipt.

For studies that are already underway, investigators must submit a Modification Request to the IRB, along with updated consent language (if applicable), when a CoC is applied for, or when automatically issued under the NIH policy.

When reviewing research under a CoC, the [INSERT ORGANIZATION] IRB will evaluate whether the research plan is consistent with the obligations to protect information and specimens under a CoC and whether the consent language, if applicable, discloses the CoC and appropriately describes the associated protections and limitations. Sample consent language is available on the [NIH CoC Website](#) and in the template consent forms available on [INSERT ORGANIZATION]'s HRPP/IRB website.

When non-NIH research is not under a CoC, the IRB may require an investigator to apply for a CoC if the research includes identifiable, sensitive information and the IRB determines that a CoC is necessary to minimize risks and adequately protect subjects' privacy and the confidentiality of subjects' information or specimens.