



April 9, 2025

Application to Conduct Research Using Medical Records (that were or will be collected solely for nonresearch purposes)

Send this form to:
Lori Robinson, CIC, IRB Coordinator
Donald Guthrie Foundation
570-887-4885
LoriA.Robinson@guthrie.org

IRB Office Use Only:

IRB Number _____

This document is used to request a Waiver of Authorization to Use and Disclose Protected Health Information (PHI) and a Waiver of Consent to Participate in Research.

I. General Information

1) Title of study

2) **Sponsor:** Investigator-initiated NIH/PHS Other (specify)

3) Investigators	Name; Contact Information	CITI Training
Principal Investigator		Completed
Faculty Sponsor*		Completed

If the Principal Investigator is a resident or trainee of The Guthrie Clinic, then this application must be:

- Sponsored by a Faculty Mentor who will be held to the same Assurances as the Principal Investigator.
- Accompanied by a brief protocol describing the aims, background, proposed analysis, and significance of the work.

4) List of Research Team Members including Investigators and those who will collect and use PHI

Name; Role on Study; Contact Information	CITI Training
	Completed
	Completed
	Completed
	Completed
	Completed
	Completed
	Completed

Application to Conduct Research Using Medical Records (that were or will be collected solely for nonresearch purposes)

5) Briefly describe the purpose of the research project

6) Approximately how many records do you expect to review?

7) Briefly describe the time frame and search criteria for the records you propose to review (eg, hospital-acquired pneumonia, 2005-pres)

8) Where will the review of protected health information (PHI) take place?

Guthrie - using Guthrie approved applications (with Guthrie username and password) for data storage

Other. Explain:

9) Who or what institution is the legal custodian of this PHI?

The Guthrie Clinic

Other. Explain:

Application to Conduct Research Using Medical Records (that were or will be collected solely for nonresearch purposes)

10) Who will collect the PHI and who will use it?

Research Team Members Only

Other. Explain:

11) Beside the research team listed above, will PHI be disclosed to anyone else?

Yes

No

If Yes, to whom will PHI be disclosed?

12) Does the recorded data contain either a direct identifier or a link to allow the re-identification of an individual?

Yes No, recorded data is fully de-identified (all 18 elements of PHI are removed). If a code is used, the key to the code must not be disclosed to the researchers who are conducting research on de-identified information.

a) If "Yes" what is your plan to protect the identities from improper use and disclosure?

Any PHI will only be accessed and stored using Guthrie approved applications (with Guthrie username and password)

Other. Explain:

b) If "Yes", describe the plan to destroy identifiers at the earliest opportunity that is consistent with the goals of the study.

Before any results are shared, any information that could potentially identify a patient will be removed from the data

Other. Explain:

13) Can this research be *practicably* conducted without access to the PHI?

Yes

No

14) Can this research be *practicably* conducted without a waiver of consent?

Yes

No

15) Does this protocol present any unusual risks to the confidentiality of subjects' medical information while participating or afterwards? (For example, history of drug use; genetic testing.) If yes, Explain:

Yes

No

16) Will this protocol collect information about subjects that, if disclosed, could have adverse consequences for subjects or damage their financial standing, employability, insurability, or reputation? If yes, Explain:

Yes

No

17) Describe the type of data to be collected and used and complete the table below

Application to Conduct Research Using Medical Records

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Direct Identifiers		Identifiable Information	Indirect Identifiers (Limited Data Set)	
Used/ Collected (check if yes)	Disclosed (check if yes)		Used/ Collected (check if yes)	Disclosed (check if yes)
		Names		
		Street Address, Apartment #, Precinct, or other geocode more geographically specific than zip code		
		City/Town, State and Zip Code <i>To be considered de-identified, only the first three digits of the zip code may be used</i>		
		All elements of dates (except year) for dates directly related to an individual (e.g. date of birth/death, dates of admission/discharge etc.)		
		Ages less than 90 and a single aggregated category for "90 or older"		
		Age of subject; Ages 90 or greater are not aggregated into a single category of "90 or older"		
		Telephone numbers, including fax		
		Electronic mail addresses		
		Social security numbers		
		Medical record numbers		
		Health plan beneficiary numbers or any other account numbers		
		Certificate/license numbers, & vehicle identifiers and serial numbers, including license plate numbers		
		Implanted device identifiers and serial numbers		
		Web Universal Resource Locators (URLs)		
		Internet Protocol (IP) address numbers		
		Biometric identifiers, including finger and voice prints or audio recordings		
		Full face photographic images and any comparable image, including video recordings		
None of the Direct Identifiers noted above will be collected			None of the Indirect Identifiers noted above will be collected	

Application to Conduct Research Using Medical Records (that were or will be collected solely for nonresearch purposes)

Waiver of HIPAA: Can this research be *practicably* conducted without a waiver of HIPAA authorization?

Yes No

If you are using a limited data set with no direct identifiers, a waiver of HIPAA may not be required.

Disclosures:

Do you intend to disclose information?

Yes No

If Yes, to whom?

If yes, and the data includes only indirect identifiers as a limited data set, then a data use agreement must be signed with the recipient of the limited data set.

If yes, and the data used includes direct identifiers then the risk to privacy may be greater than minimal and full IRB review is required. Please provide rationale as to why the disclosure of the protected health information with these direct identifiers is thought to involve no more than minimal risk to the rights, welfare and/or privacy of the individuals.

Fully describe any additional privacy protections that will be put in place in order to protect the privacy of the individuals.

II. Assurances of Principal Investigator

As Principal Investigator of this study, I assure the IRB that the following statements are true:

The information provided in this form is correct. I will seek and obtain prior written approval from the IRB for any substantive modifications in the proposal, including changes in procedures, co-investigators, funding agencies, etc. I will promptly report any unexpected or otherwise significant adverse events or unanticipated problems or incidents that may occur in the course of this study. I will report in writing any significant new findings which develop during the course of this study which may affect the risks and benefits to participation. I will not begin my research until I have received written notification of final IRB approval. I will comply with all IRB requests to report on the status of the study. I will maintain records of this research according to IRB guidelines.

The PHI will not be reused or disclosed to (shared with) any other person or entity, except as required by law, for authorized oversight of the research study, or for other research for which the use or disclosure of the PHI would be permitted under the Privacy Rule. I will only store PHI on Guthrie Servers. I will not email or store PHI on portable electronic media. If these conditions are not met, I understand that approval of this research could be suspended or terminated.

Signature of Principal Investigator

Date

Signature of Faculty Sponsor

Date

Application to Conduct Research Using Medical Records

(that were or will be collected solely for nonresearch purposes)

FOLLOWING SECTION IS TO BE COMPLETED BY IRB CHAIR OR DESIGNATED REVIEWER

III. Assessment and Determination

WAIVER OF HIPAA Authorization – Check all that apply The following three criteria must be satisfied for an IRB or Privacy Board to approve a waiver of authorization under the Privacy Rule: <https://www.hhs.gov/hipaa/for-professionals/privacy/guidance/research/index.html>

- 1) The use or disclosure of protected health information involve no more than a minimal risk to the privacy of individuals, based on, at least, the presence of the following elements:
- an adequate plan to protect the identifiers from improper use and disclosure;
 - an adequate plan to destroy the identifiers at the earliest opportunity consistent with conduct of the research, unless there is a health or research justification for retaining the identifiers or such retention is otherwise required by law; and
 - adequate written assurances that the protected health information will not be reused or disclosed to any other person or entity, except as required by law, for authorized oversight of the research project, or for other research for which the use or disclosure of protected health information would be permitted by this subpart

☐

- 2) The research could **not** practicably conducted without the waiver or alteration

- 3) The research could **not** practicably conducted without access to and use of the PHI

☐

Waiver of HIPAA Authorization: The requirements for waiver of HIPAA authorization have been reviewed and documented as above. If all criteria are checked, a full waiver of HIPAA authorization is determined as acceptable by the IRB as HIPAA Privacy Board.

WAIVER OF INFORMED CONSENT Protocol specific determinations apply due to the study design being a secondary analysis of data

- 1) Does the research involve more than minimal risk to the subjects?

☐ Yes ☐ No

- 2) Can the research be *practicably* carried out without the waiver of informed consent?

☐ Yes ☐ No

- 3) Can the research be *practicably* carried out without using the identifiable private information in an identifiable format?

☐ Yes ☐ No

- 4) Will a waiver of the requirement to obtain informed consent adversely affect the rights and welfare of the subjects?

☐ Yes ☐ No

- 5) Is it appropriate to provide subjects with additional pertinent information after participation?

☐ Yes ☐ No

Waiver of Consent: The requirements for waiver of consent have been reviewed and documented as above. If all criteria are answered “No” waiver of consent is determined as acceptable by the IRB.

CRITERIA FOR EXPEDITED REVIEW

- (1) Does the research involve more than minimal risk to the subjects?

☐ Yes ☐ No

- (2) Does identification of the participants and/or their responses reasonably place them at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, insurability, reputation, or be stigmatizing?

☐ Yes ☐ No

If yes, will reasonable and appropriate protections be implemented so that risks related to invasion of privacy and breach of confidentiality are no greater than minimal?

Answer only if Yes to (2)
☐ Yes ☐ No

- ☐ **Approved after expedited review - Category 5:**

Research involving materials (data, documents, records, or specimens) that have been collected, or will be collected solely for nonresearch purposes (such as medical treatment or diagnosis).

Continuing Review is not required unless the reviewer explicitly justifies why continuing review would enhance protection of research subjects. [45CFR46.110(b)(1),

116(d), 117(c), 45CFR164.512(i)(1)]

If applicable, Reviewer justification for why continuing review would enhance protection of research subjects.

Explain only as applicable:

☐ Referred for Review at
 Convened Meeting

Application to Conduct Research Using Medical Records (that were or will be collected solely for nonresearch purposes)

Determination of FLEXIBILITY per policy GF-IRB-322-002

- ☐ The research is determined by the IRB to be no more than minimal risk
- ☐ The research is not federally funded
- ☐ The research is not conducted in New York State

All of the above are met and the research is eligible for flexibility ☐

OR If not all of the above are met: The research is not eligible for flexibility ☐

The requirements for waiver of HIPAA authorization, waiver of consent, expedited review and flexibility have been reviewed and documented as above.

Conflict of Interest Statement: I do not have a personal, scientific or financial interest in this project.

IRB Chair/Designated Reviewer

Date