Guidelines for Applicants

North American Association of Central Cancer Registries

Institutional Review Board (IRB)

For the Protection of Human Subjects

In Projects using NAACCR Multi-registry Aggregated Data Files

NAACCR IRB Number: IRB00002589
Approved June 19, 2002
Renewed June 27, 2013
Expires June 27, 2016

NAACCR FWA Number: FWA00003090
Approved August 19, 2002
Renewed July 1, 2013
Expires July 1, 2018

April 4, 2003

John P. Fulton, PhD
IRB Chairperson

Table of Contents

Background and Introduction

The North American Association of Central Cancer Registries (NAACCR) is a professional association of cancer registries, programs, and organizations. Its mission is to develop and promote uniform data standards for cancer registration; provide education and training; certify population-based cancer registries; aggregate and publish data from central cancer registries; and promote the use of cancer surveillance data and systems for cancer control and epidemiologic research, public health programs, and patient care to reduce the burden of cancer in North America.

The Data Evaluation and Publication Committee (DEPC) is a standing committee of NAACCR. The NAACCR bylaws charge the DEPC to gather cancer incidence and related data from member registries and evaluate them for publication. An annual statistical monograph has been released since 1992 and an online publicly accessible, data query system has been available since 2000. The monograph, *Cancer in North America* (CINA) is available in hard copy and through the NAACCR website in PDF format. CINA has three volumes that include registry-specific cancer incidence (volume I), mortality (volume II), and combined cancer incidence rates for the United States, Canada, and North America from areas that meet NAACCR standards of high data quality (volume III). The online query system, *CINA+ Online,* is available through the NAACCR web site. *CINA+ Online* provides user flexibility in data output, including information for age-specific groups and single years of diagnosis. Data queries can generate not only tables of counts and rates, but also maps and graphs where appropriate.

A more recently adopted DEPC goal is to create and release a research analytic file from registries participating in the NAACCR annual call-for-data. This file is undergoing its second phase of beta-testing and is known as *CINA Deluxe*. NAACCR research groups and committees are using prototypes of this analytic file in their NAACCR-sponsored analytic activities. Release of CINA Deluxe will extend its users beyond the organized NAACCR research groups to include studies conducted by individual NAACCR members. There are no plans in 2002 to release this file to anyone who is not a NAACCR member.

Access to NAACCR Analytic Files

In order to access a NAACCR analytic file, one must be a NAACCR member and must submit a brief proposal of the project to the DEPC for approval. All investigators must sign the Data Confidentiality Agreement For NAACCR Researchers. When approved, access is granted to the data files which are resident in a password-controlled client server environment. Access to the data is time-limited: for either the length of the project or one year, which ever is shorter. To extend access beyond the maximum time period, a request must be submitted to the DEPC for approval.

Content and Use of NAACCR Data File: CINA Deluxe

Data from an individual registry are only included on the file when the registry provides consent for their inclusion **and** when the registry meets all data quality criteria established by the High Quality Data (HQD) Work Group for the NAACCR Analytic File, or CINA Deluxe for each year included on the data file (1995 forward) or from the registry reference year forward, if the registry was established after 1995. These criteria may change over time, but the criteria currently will be applied to each CINA Deluxe as it is produced (usually in May of each year). In addition, registries must provide consent for their data to be used in individual projects, even when they have agreed in principal to have their data included on the analytic file. Local knowledge of site-specific data quality or data sensitivity governs decisions about data use in individual projects, and this decision rests with the individual registries.

SEER*Stat is a statistical package useful in analysis of SEER and CINA databases. It was developed by Information Management Services, Inc. in consultation with the Cancer Statistics Branch of the National Cancer Institute. SEER*Stat was designed to provide an efficient and flexible tool with which to produce

cancer frequencies, rates, trend analyses, and survival statistics. Investigators will access the data file and software through password controlled Internet access of the IMS server (a client-server environment). No *CINA Deluxe* data files are released in any other medium.

The following statistics can be calculated using SEER*Stat and the CINA data file:

- frequencies with or without row or column percentages
- crude rates (non-adjusted) with standard errors or confidence intervals
- age-adjusted rates with standard errors and confidence intervals
- time trends as Estimated Annual Percent Changes (EAPC), from crude or age-adjusted rates, with confidence intervals
- comparison of estimated annual percent changes with zero (no trend) or a comparison of two estimated annual percent changes with each other
- join point analyses for long-term time trends.

Refer to the File Instructions in the NAACCR Call for Data for the variables available on the CINA Deluxe Files.

Special NAACCR Analytic Files (SAS, Patient-linked)

Unlike many other surveillance systems, cancer registries consider a case to be equivalent (more or less) to the number of tumors. Stated simply for the purposes here, each tumor is counted as a separate case. (In reality, there are detailed and lengthy rules for defining the conditions that distinguish single from multiple cancers.) Persons with multiple primary cancers are a unique population and one that is of great interest to researchers. In order to conduct analyses of these cases, it is necessary to re-link all the tumor reports to an individual person. Such analyses are not yet possible (as of August 2002) in the SEER*Stat software. In these situations, a SAS file is created by the NAACCR statistical analytic unit and it is designated as a patient-linked file. Once linked, the file is stripped of the unique identifier. Registries are contacted before producing a patient-linked file and they must provide consent for their data to be included.

Multivariate regression analyses are also not possible using SEER*Stat software (as of August 2002). However, aggregate data records can be exported from SEER*Stat for use in other statistical software. In addition, should one require individual records for multivariate analyses, a special SAS file can be created from the NAACCR analytic file for multivariate analyses, if such analyses were determined to be warranted and critical to the project. This file would only be created upon special request and following special approval by the appropriate NAACCR Committees.

Other Special Studies (e.g., summary stage comparison study)

From time to time, NAACCR is engaged in other special studies that do not use the NAACCR analytic data files. These may include, for example, an assessment of registry operations, evaluation of the impact of standards revisions on data output (e.g., comparability of coding summary stage using the 1977 standard with the revised standard implemented in 2000). These studies have been limited (as of August 2002) to re-analyses of existing data or reabstracting information from medical records. In both cases, they are conducted independently by each participating registry. Raw data may be aggregated and submitted to NAACCR.

Purpose of the NAACCR IRB

The purpose of the NAACCR IRB is to review all projects that are NAACCR sponsored or that use NAACCR data files, prepared from the aggregation of registries' data through the annual call for data or through special studies.

Purview of the NAACCR IRB

As of August 2002 and the initiation of the NAACCR IRB, no projects sponsored by or supported with NAACCR data involve the contact of human subjects. Cancer registries that supply data for the NAACCR multi-registry aggregated data files do not submit sufficient information about cancer cases to enable direct identification or contact through the data provided. Thus, NAACCR IRB will not review any research project involving human contact until such time as these projects are sponsored by NAACCR or use data from NAACCR's multi-registry aggregated data files. The NAACCR IRB will not review any studies that do not fall directly under the purview of the NAACCR IRB.

Review Policies and Procedures of the NAACCR IRB

Does the Project Include Research Involving Human Subjects?

The NAACCR Institutional Review Board is established to review the procedures for protection of human subjects in all research projects that involve NAACCR staff, volunteers, members, data, or other resources. The principal purpose of the IRB review is to assure that the procedures for obtaining informed consent from human research subjects are properly established and administered.

To that end, the NAACCR IRB is mandated to review only those projects and programs that in whole or part, meet the definition of research on human subjects, as presented in the federal regulations governing protection of human subjects (Title 45, Code of Federal Regulations, Part 46 or 45 CFR 46). The definitions are as follows:

"***Research*** means a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge. Activities that meet this definition constitute research for purposes of this policy, whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities." [45 CFR 46.102(d)]

"***Human subject*** means a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information. *Intervention* includes both physical procedures by which data are gathered … and manipulations of the subject or the subject's environment that are performed for research purposes. *Interaction* includes communication or interpersonal contact between investigator and subject. *Private information* includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a medical record). Private information must be individually identifiable (i.e., the identity of the subject is or may readily be ascertained by the investigator or associated with the information) in order for obtaining the information to constitute research involving human subjects." [45 CFR 46.102(f)]

If a project or program, or any component of a project or program, does not meet both of these definitions, it is not subject to IRB review. Projects using the NAACCR analytic (or CINA Deluxe) file where the patient identification number is not available to the user are NOT subject to NAACCR IRB review.

It is the responsibility of the principal investigator (PI) of a project to obtain IRB review for all appropriate projects. The chair, members, and staff of the NAACCR IRB are available to investigators for consultation on the necessity of submitting specific projects for IRB review.

Elements Of Review

The NAACCR IRB will review each proposed human research project to determine

- the necessity of the review (e.g., exempt or requires IRB review);
- that the rights and welfare of the human subjects involved are adequately protected;
- that the risks to the human subjects are outweighed by the potential benefits to them or by the importance of the knowledge to be gained;
- that the voluntary informed consent is to be obtained by methods that are adequate and appropriate, and
- that the persons proposed to conduct the particular research are appropriately competent and qualified.

In order to assess these elements, the applicant must submit a Research Protocol which includes:

- Purpose and need for the study,
- Background and previous research,
- Specific location(s) of the study,
- Duration of the study,
- Research plan, including the nature of the subjects, and number of subjects expected to be included,
- Human Subjects Procedures, including how subjects will be selected, the sampling frame, use of inducements/incentives, any contact letters, informed consent form(s), assent and permission forms (where subjects are children),
- Approvals by other institutions' IRBs, if any, and questionnaire(s), if any.

Research on human subjects with special protections

In 2002 with the initiation of the NAACCR IRB, no projects sponsored by or supported with NAACCR data involve the contact of human subjects. Cancer registries that supply data for the NAACCR multi-registry aggregated data files do not submit sufficient information about cancer cases to enable direct identification or contact through the data provided. Thus any research project involving human contact and the informed consent process must be submitted to the IRBs of all registries participating in the study. The NAACCR IRB will not review any studies that do not fall directly under the purview of the NAACCR IRB.

In the event that the policy or practice of the NAACCR multi-registry data files or research activities be expanded to include research studies involving contact of human subjects, the following general guidelines would be followed:

1. Certain categories of human research subjects are afforded special protections under federal regulations because they are at greater risk of adverse consequences or because they require special consideration in the informed consent process. These categories are: fetuses, pregnant women, and human *in vitro* fertilization; prisoners; and children.
2. The special protections afforded each of these categories of human subjects are detailed in subparts B, C, and D of the federal regulations regarding the protection of human subjects, 45 CFR 46. Investigators submitting projects involving one or more of these groups must identify on the Proposal Cover Sheet the group(s) that are involved and include in their submissions to the IRB (1) a justification for choosing to include these subjects; (2) information on the possible risks for these subjects, and (3) a description of any special procedures or forms to be used with these subjects in the informed consent process.

[NOTE: The National Institutes of Health (NIH) have instituted policies supporting diversity in the selection of human research subjects, for the purpose of maximizing the applicability of research results to all relevant populations. Investigators performing NIH-sponsored research projects should be aware of

these policies and, for some groups, the impact of the policies on informed consent procedures. The policies are "Inclusion of Children in Research" and "Inclusion of Women and Minorities in Research" and can be found at the NIH web site, grants.nih.gov/grants/oprr/library_human.htm under the heading *National Institutes of Health (NIH) Information.*]

Minors as research participants

As of 2002 and the initiation of the NAACCR IRB, no projects sponsored by or supported with NAACCR data involve the contact of human subjects. Cancer registries that supply data for the NAACCR multi-registry aggregated data files do not submit sufficient information about cancer cases to enable direct identification or contact through the data provided. Thus any research project involving human contact and the informed consent process must be submitted to the IRBs of all registries participating in the study. The NAACCR IRB will not review any studies that do not fall directly under the purview of the NAACCR IRB.

In the event that the policy or practice of the NAACCR multi-registry data files or research activities be expanded to include research studies involving contact of human subjects, the following general guidelines would be followed:

Children are more vulnerable than other research participants because of their limited cognitive competencies and experiential backgrounds which constrain their capacities to understand and defend their rights as research participants and to make responsible decisions concerning research participation. Children are defined in the federal regulations as "persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law of the jurisdiction in which the research will be conducted." [45 CFR 46.402(a)] They are also vulnerable because of their limited social power, which impairs their ability to exercise independent decision making concerning research participation. Because of these limitations, special caution is advised in the preparation and review of protocols involving children as subjects. These include:

1. ***Consideration of the developmental level of the individual in the determinations of "minimal risk."*** It is usually assumed that vulnerability increases or peaks at certain ages. For example, children's increasing self-awareness or adolescents' sensitivity to their changing bodies may make older children more vulnerable than younger children.
2. ***Consideration in obtaining informed consent or assent.*** It is clear that consent is required from the parent or guardian. Less clear are the requirements for the child's assent. Although children cannot consent to research, they do have the right to refuse to participate. It is recommended that the following be delineated in obtaining assent from children:
    a. Written assent be required and obtained in writing from the child unless there is a clear, written justification for not obtaining assent.
    b. Documentation for obtaining assent, and by whom, will be clear. Where appropriate, a separate form should be drafted with language appropriate to the child's developmental level.
3. ***Explanation of and process for quitting or withdrawal from the research.*** Since children tend to be acquiescent to adult wishes and are often reluctant to speak up when uncomfortable, special attention must be given to processes for quitting or withdrawal from research. Along with the usual statements in the informed consent form, the researcher is advised to:
    a. Be cognizant of signs of discomfort shown by the child throughout the interview or testing procedures, and periodically inquire about the child's reactions or feelings.
    b. Include procedures for withdrawal that address the above considerations.

Types of IRB Review

Research Exempt from IRB Review

Projects that do not meet the definition of research or do not involve human subjects as defined above (Section: *Does the project include human subjects?*) are exempt from IRB review. For projects that meet these definitions the following categories are exempt from review, according to 45 CFR 46.101(b).

1. Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (i) research on regular and special education instructional strategies, or (ii) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.
2. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior, qualifies as exempt ***unless:***
    (i) information obtained is recorded in such a manner that human subjects can be identified directly or through identifiers linked to the subjects (*information must be anonymous);* **and** (ii) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation.
3. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of pubic behavior that is not exempt under paragraph 2 if:
    (i) The human subjects are elected or appointed public officials or candidates for public office, **or**
    (ii) Federal statue(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.
4. Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in such a manner that subjects cannot be identified directly or through identifiers linked to the subjects.
5. Research and demonstration projects which are conducted by or subject to the approval of Department or Agency heads, and which are designed to study, evaluate, or otherwise examine:
    (i) Public benefit or service programs;
    (ii) Procedures for obtaining benefits or services under those programs or procedures; or
    (iii) Possible changes in or alternatives to those programs or procedures; or
    (iv) Possible changes in methods or levels of payment for benefits or services under those programs.
6. Taste and food quality evaluation and consumer acceptance studies if (i) wholesome foods without additives are consumed or (ii)a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency, or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

Submission Guidance—Exempt Review

If it is determined that human subjects are involved (particularly related to number 4 above for NAACCR proposals), the principal investigator shall consult with the Chair of the NAACCR IRB to make a preliminary determination of whether the research involved is exempt from IRB review. When the project has been determined to be in the *exempt* category, the research may proceed after receipt of the Proposal Review Summary Form signed by the NAACCR IRB Chair that indicates the project is *exempt.*

In making the request for exempt review, a principal investigator must submit one (1) electronic copy of :

1. The complete research proposal, excluding any appended material not necessary to an understanding of the project
2. NAACCR IRB Proposal Cover Sheet with required information provided (see Forms section in this packet).
3. A completed NAACCR IRB Application Form (see Forms section in this packet).
4. An Assurance form signed by the Principal Investigator. (If digital signature is not available, then email the form and fax the signed Assurance form).
5. A signed copy of the Data Confidentiality Agreement for NAACCR Researchers Form. (If digital signature is not available, then email the form and fax the signature page with signature).

Incomplete applications will be returned to the principal investigator without review. Applications qualifying for exempt review will be reviewed by the Chair of the IRB or a designated experienced IRB member. They will prepare a report of action, indicating the outcome of the review. A minimum of three (3) days will be needed to perform an exempt review.

Research Eligible for Expedited IRB Review

Expedited review by the NAACCR IRB is applicable to:

- Research activities that present no more than minimal risk to human subjects, and involve only procedures listed in one or more of the research categories listed below, may be reviewed by the NAACCR IRB through the expedited review procedure authorized by 45 CFR 46.110 and 21 CFR 56.110. The activities listed should not be deemed to be of minimal risk simply because they are included on this list. Inclusion on this list merely suggests that the activity is eligible for review through the expedited review procedure when the specific circumstances of the proposed research involve no more than minimal risk to human subjects.
- The categories listed below regardless of the age of subjects, except as noted.
- All categories listed below for both initial and continuing NAACCR IRB review.

The expedited procedure may NOT be used:

- For classified research involving human subjects.
- Where identification of the subjects or their responses would reasonably place them at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, insurability, reputation, or be stigmatizing, unless reasonable and appropriate protections will be implemented so that risks related to invasion of privacy and breach of confidentiality are no greater than minimal.

The NAACCR IRB is reminded that the standard requirements for informed consent (or its waiver, alteration, or exception) apply regardless of the type of IRB review (expedited or convened).

The research categories that are eligible for expedited review by the NAACCR IRB are:

1. Clinical studies of drugs and medical devices only when condition (a) or (b) is met.
    a. Research on drugs for which an investigational new drug application is not required.
    b. Research on medical devices for which an investigational device exemption application is not required or the medical device is cleared/approved marketing and being used in accordance with its approved labeling.
2. Collection of blood samples by finger stick, heel stick, ear stick, or venipuncture as follows:
    a. From healthy non-pregnant adults who weight at least 110 pounds, amounts drawn may not exceed 550 ml in an 8 week period and collection may not occur more frequently than 2 times per week; or
    b. From other adults and children, considering the age, weight, and health of the subjects, the collection procedure, amount, and frequency may not exceed the lesser of 50 ml or 3 ml per kg in an 8 week period and collection may not occur more frequently than 2 times per week.

3. Prospective collection of biological specimens for research purposes by non-invasive means. Examples include hair and nail clippings in a non-disfiguring manner; deciduous teeth at time of exfoliation or if routine patient care indicates a need for extraction; permanent teeth if routine patient care indicates a need for extraction; excreta and external secretions; uncannulated saliva collected either in an unstimulated fashion or stimulated by chewing gum base or wax or by applying a dilute citric solution to the tongue; placenta removed at delivery; amniotic fluid obtained at the time of rupture of the membrane prior to or during labor; supra- and sub-gingival dental plaque and calculus, provided the collection procedure is not more invasive than routine prophylactic scaling of the teeth and the process is accomplished in accordance with accepted prophylactic techniques; mucosal and skin cells collected by buccal scraping or swab, skin swab or mouth washings; sputum collected after saline mist nebulization.
4. Collection of data through non-invasive procedures (not involving general anesthesia or sedation) routinely used in clinical practice, excluding procedures involving x-rays or microwaves. Where medical devises are used, they must be cleared/approved for marketing. Examples include physical sensors applied either to the body surface or at a distance and do not involve input of significant amounts of energy into the subject or an invasion of the subject's privacy; weighting or testing sensory acuity; magnetic resonance imaging; electrocardiography, electroencephalography, thermography, detection of naturally occurring radioactivity, electroretinography, ultrasound, diagnostic infrared imaging, Doppler blood flow, and echocardiography; moderate exercise, muscular strength testing, body composition assessment, and flexibility testing where appropriate given the age, weight, and health of the individual.
5. Research involving materials that have been collected (e.g. data, documents, or records) or will be collected solely for non-research purposes (such as medical treatment or diagnosis). [NOTE: Some research in this category may be exempt from IRB review (45 CFR 46.101(b)(4)). This list refers only to research that is not exempt.]
6. Collection of data from voice, video, digital, or image recordings made for research purposes.
7. Research on individual or group characteristics or behavior (including, but not limited to, research on perception, cognition, motivation, identity, language, communication, cultural beliefs or practices, and social behavior) or research employing survey interview, oral history, focus group, program evaluation, human factors evaluation, or quality assurance methodologies.). [NOTE: Some research in this category may be exempt from IRB review (45 CFR 46.101(b)(4)). This list refers only to research that is not exempt.]
8. Continuing review of research previously approved by the convened IRB as follows:
    a. Where the research is permanently closed to the enrollment of new subjects; all subjects have completed all research-related interventions; and the research remains active only for long-term follow-up of subjects; or
    b. Where no subjects have been enrolled and no additional risks have been identified; or
    c. Where the remaining research activities are limited to data analysis.
9. Continuing review of research, not conducted under an investigational new drug application or investigational device exemption where categories two through eight (2-8) do not apply but the IRB has determined and documented at a convened meeting that the research involves no greater than minimal risk and no additional risks have been identified.

Submission Guidance – Expedited Review

If the proposal might qualify for expedited review, the principal investigator must submit one (1) electronic copy of

1. The complete research proposal, excluding any appended material not necessary to an understanding of the project.
2. NAACCR IRB Proposal Cover Sheet with required information provided (See Forms section in this packet).
3. A completed NAACCR IRB Application Form (see Forms section in this packet).

4. An Assurance form signed by the Principal Investigator. (If digital signature is not available, then email the form and fax the signed Assurance form).
5. A signed copy of the Data Confidentiality Agreement for NAACCR Researchers Form. (If digital signature is not available, then email the form and fax the signature page with signature).

Incomplete applications will be returned to the principal investigator without review. Applications qualifying for expedited review will be reviewed by the Chair of the IRB or a designated experienced IRB member. They will prepare a report of action, indicating the outcome of the review. A maximum of two (2) weeks will be needed to perform an expedited review. The Administrative Coordinator will assist the chair in ensuring that reviewers are available to respond with a review in a timely period.

Research Requiring Full IRB Review

As the NAACCR IRB is initiated in 2002, it is unlikely that any applications falling under the purview of the NAACCR IRB will require a full IRB review. However, should the purview change in the future, the following guidelines would apply.

If neither exempt nor expedited review is permitted, the principal investigator must submit one (1) electronic copy of

1. The complete research proposal, excluding any appended material not necessary to an understanding of the project.
2. NAACCR IRB Proposal Cover Sheet with required information provided (see Forms section in this packet).
3. A completed NAACCR IRB Application Form. (see Forms section in this packet).
4. An Assurance form signed by the Principal Investigator.
5. An informed consent statement or form written in language comprehensive to the subject (see Forms section in this packet).
6. A signed copy of the Data Confidentiality Agreement for NAACCR Researchers Form.

The IRB Chair will assign one principal reviewer for each proposal. Each member of the IRB will have items 2 through 6. These proposals will be reviewed at the regularly scheduled IRB meeting. Incomplete applications will be returned to the principal investigator without review.

Notification

Applicants will be notified in writing of the decision of the IRB, any required revisions, or additional information. **Applicants may not proceed with research without the written approval of the IRB**.

Incomplete Applications

Only complete applications should be submitted to the NAACCR IRB for review. Incomplete applications will not be reviewed and will be returned to the PI.

Confidentiality and Research Risk

Most research proposals falling under the purview of the NAACCR IRB do not involve any intent to contact the individual whose information is being used. In fact, the information on most of the NAACCR data files do NOT contain sufficient information to identify or contact any individuals. These proposals may be eligible for exemption from informed consent requirements or review under the expedited procedure. Such proposals should address the following issues in their IRB submissions:

1. Determine whether the proposed use of the data is research on human subjects as defined in the federal regulations governing human subjects protection.

2. Specify the risks and benefits of participating in the research for the human subjects.
    a. Very often there are no direct benefits to individuals whose confidential data are accessed.
    b. Risks may often include inadvertent and purposeful release of confidential data on an individual. Such release may occur through release of sufficient descriptive information as to allow identification even when no identifiers are released.
3. Minimize the risks to human subjects in the design and conduct of the research. For use of existing data, this means that:
    a. The minimum amount of confidential information is requested that is necessary to perform the research.
    b. The information is accessible to and handled by the minimum number of personnel possible.
    c. Identifiers are removed from the database or the database is returned to the owner as soon as it is no longer needed.
    d. Data that are published or otherwise released are aggregated so that no individual can be identified either directly or indirectly through knowledge of non-confidential data items.
4. Specify measures to protect data when on computers and when stored on electronic media. Also describe any data linkages that would result in anonymous data becoming identifiable to an individual.
5. If any contact becomes possible and is proposed with an individual identified through access to a NAACCR data file, the issues of informed consent become relevant, and all protocols and forms must be reviewed in addition to measures to protect confidentiality.

General requirements of Informed Consent

As of 2002 and the initiation of the NAACCR IRB, no projects sponsored by or supported with NAACCR data involve the contact of human subjects. Cancer registries that supply data for the NAACCR multi-registry aggregated data files do not submit sufficient information about cancer cases to enable direct identification or contact through the data provided. Thus any research project involving human contact and the informed consent process must be submitted to the IRBs of all registries participating in the study. The NAACCR IRB will not review any studies that do not fall directly under the purview of the NAACCR IRB.

In the event that the policy or practice of the NAACCR multi-registry data files or research activities be expanded to include research studies involving contact of human subjects, the following general guidelines would be followed:

1. Informed consent must be obtained only under such circumstances that provide the prospective subject, or the subject's representative, sufficient opportunity to consider participation in the research project and where the possibility of coercion or undue influences is minimized.
2. The informed consent statement must be written in language understandable to the subject or representative; shall not contain any language by which the subject waives any of his or her rights; shall not contain any language that releases the principal investigator or the sponsoring agency from liability for negligence; and should include a statement such as, "you are over 18 years of age," if appropriate.
3. The Informed Consent Statement should follow the format and outline of the sample provided in this packet, Sample Informed Consent Form, as appropriate. When the subject is a minor and the parent's or guardian's consent is sought, space for the parent's or guardian's signature should be provided. If the subject is an adult requiring guardian consent, space for the guardian's signature should be provided. Alternatively, where it is necessary to separate the consent of the parent/guardian from the assent of the minor or non-consenting adult, separate forms should be used for each.

4. Two copies of the Informed Consent statement must be signed; one copy is to be retained by the individual (or his or her representative/guardian), and one copy is to be kept by the principal investigator. (NOTE: The signature page may not be completely separated from the text of the informed consent.)

Monitoring Procedures

The Code of Federal Regulations empowers the IRB to "conduct continuing review of research at intervals appropriate to the degree of risk, but not less than once per year, and to observe or have a third party observe the consent process and the research." [45 CFR 46.109(e)].

Approved projects are assigned a monitoring date. All investigators will receive a monitoring form in advance of that date that must be completed and returned to the NAACCR IRB ten (10) days before the designated date. In addition, investigators will be asked to submit a copy of the *signed* consent form most recently used for the project (redacting a subject's signature to preserve confidentiality) and a summary of the project or the annual report to a funding agency.

The IRB will review these documents to ensure that the research protocol continues to be in compliance with federal and state regulations.

Continuing research must be monitored and approved for continued IRB approval. If an investigator does not respond to the IRB request for review within the specified time frame, the project will no longer have IRB approval. If the project involves the *CINA Deluxe* research analytic file, access to the file will be terminated immediately. Re-instatement will only occur after the completion of a full application, as if the project were a new project.

NAACCR IRB Operating Policies and Procedures

Federal Wide Assurance

The Federal Policy (Common Rule) for the protection of human subjects [45 CFR 46.103(a)] requires that each institution engaged in Federally-supported human subject research file an Assurance of protection for human subjects. The Assurance formalizes the institution's commitment to protect human subjects. Institutions are automatically considered to be engaged in human subject research whenever they receive a direct HHS award to support such research, even where all activities involving human subjects are carried out by a subcontractor or collaborator. In such cases, the awardee institution bears ultimate responsibility for protecting human subjects under the award. The awardee is also responsible for ensuring that all collaborating institutions engaged in the research hold an OHRP approved Assurance prior to their initiation of the research.

NAACCR's Institutional Review Board is established under the Federal Wide Assurance for the protection of human subjects. The FWA includes specific provisions governing the following:

- The institutional authority under which the IRB is established and empowered.
- The definition of the purpose of the IRB, i.e., the protection of human subjects in research.
- The principles which govern the IRB in assuring that the rights and welfare of subjects are protected.
- The authority of the IRB, specifically:
    - The scope of authority of the IRB (the types of studies that must be reviewed).
    - The authority to disapprove, modify or approve studies based upon consideration of human subject protection aspects.
    - The authority to require progress reports from the investigators and oversee the conduct of the study.
    - The authority to suspend or terminate approval of a study.

- The authority to place restrictions on a study.

IMPORTANT: The FWA has sole jurisdiction over investigators located in the United States. Canadian investigators are not covered by a U.S. IRB and thus are not covered by the NAACCR IRB. Thus all Canadian investigators must also obtain approvals from their own institution comparable to the U.S. IRB (called Independent Ethics Committee (IEC), Research Ethics Board, or other similar title, in Canada).

Federal Regulations for the Protection of Human Subjects

The operations of the IRB are governed by federal regulations for the protection of human subjects 45 Code of Federal Regulations 46 (45 CFR 46).

Institutional Setting of the IRB

The IRB is established within the NAACCR organization under the authority of the President to submit the Federal Wide Assurance for the protection of human subjects. The Chair of the IRB reports to the President and is responsible for the administration of the IRB.

Membership of the IRB

Number of Members. The NAACCR IRB shall have a Chair and six (6) primary members and six (6) alternate members. Ad hoc members may be selected when necessary to review a project that falls outside of the expertise of permanent members and alternate members.

Qualification of Members. As an ensemble, the members of the IRB shall possess broad competence and experience in epidemiologic and medical research, knowledge of the community and its diverse cultures from which human research subjects are generally selected, and the ability to review proposed research in terms of relevant law, regulation, and standards of professional practice.

Diversity of Members. The IRB shall include representation by (1) both men and women; (2) multiple professions; (3) scientific and non-scientific members (at least one of each); and (4) at least one member who is not otherwise affiliated with the NAACCR organization. Every non-discriminatory effort will be made to include members who represent the diversity from which research subjects may be selected.

Alternate Members. Alternate members shall be selected according to the same considerations as primary members. Alternate members serve in a voting capacity at those meetings where the Chair has determined that such participation is necessary for a quorum. Alternate members are expected to attend and participate regularly in all IRB meetings in a non-voting capacity.

Management of the IRB

The Chair. The Executive Director shall serve as the Chair of the IRB, unless the President appoints another candidate. The Chair is responsible for conducting the meetings of the IRB and for administering the review of human subjects research in NAACCR.

IRB Members. All primary and alternate members of the IRB are invited by the President to serve for terms of no more than three years. Primary members serve terms that are staggered to maintain continuity of a majority of the membership over the end of each term. Thus, in the first year of operation (2002), two (2) members each will hold a term of one, two, and three years. Members may serve for two or more consecutive terms if invited. Primary and alternate members are expected to attend at least half of all scheduled IRB meetings during each year of their term.

Training of IRB Chair and Members. All newly appointed IRB members without IRB experience will be oriented to the principles of human subjects protection and the operations of the IRB by an

experienced IRB member selected by the Chair. The group orientation will take place in two phases: the first will be a brief overview of the principles informed consent and human subjects protection; the federal regulations governing human subjects protection; and policies and procedures of the IRB. The Chair will prepare and distribute relevant materials to new members before this call. Following the orientation call and within 30 days, the new members are expected to review the materials and obtain their OPHR certificate. After this 30-day interval, a second training meeting will be held by teleconference to follow-up on specific issues and to answer questions.

The Chair will alert members to opportunities for professional development in the area of human subjects protection and will maintain a library of relevant reference materials.
[http://ohrp.osophs.dhhs.gov/educmat.htm]

Compensation of IRB Members. NAACCR does not compensate the NAACCR IRB members for their service.

Liability Coverage for IRB Members. By state law, members of the IRB are protected from liability arising from their IRB service, when acting in good faith and in accordance with IRB policies and procedures and federal regulations.

Use of Consultants. At the discretion of the Chair, the IRB may supplement the expertise of its members by inviting individuals with competence in special areas to assist in reviews of research proposals. Any member may request the Chair to obtain the assistance of such an individual.

Administrative Support Staff. NAACCR shall provide all administrative support needed to administer the IRB's operations. The staff shall perform their duties under the direction of the Chair.

Resources. In complying with NAACCR objectives to maximize operations within an electronic environment, NAACCR will provide electronic storage for files, phone bridges for teleconferences, and electronic communiqués regarding all aspects needed to support the IRB's operations.

Conflict of Interest. No IRB member, including the Chair, shall participate in the initial or continuing review, including discussion and voting, of any proposal in which the member has a conflicting interest, except to provide information if requested by the IRB. It is the responsibility of each member to inform the Chair of such conflict prior to the review of the affected proposal.

Functions of the IRB

The functions of the IRB are to:

- Take steps to ensure that NAACCR members engaged in human subjects research are knowledgeable of the requirements for protecting human research subjects and submit all relevant research studies to the IRB for review.
- Determine whether submitted proposals are exempt from human subjects review, are eligible for expedited review, or must undergo review by the full board.
- Conduct initial and continuing reviews of submitted proposals that require human subjects review.
- Report, in writing, findings and actions of the IRB to investigators.
- Determine the studies that require continuing review more often than annually.
- Determine whether studies need verification from sources other than the investigators that no material changes have occurred since previous IRB review.
- Take steps to ensure prompt reporting to the IRB of changes in research activities.
- Take steps to ensure that changes in approved research are not initiated without IRB review and approval except where necessary to eliminate apparent immediate hazards.

- Take steps to ensure prompt reporting to the IRB, appropriate institutional officials, and OHPR of unanticipated problems involving risks to subjects or others; serious or continuing non-compliance with 45 CFR 46 or other requirements of the IRB; and suspension or termination of IRB approval.
- Determine the studies that pose minimal risk to human subjects.
- Determine the studies that pose greater than minimal risk to human subjects.

Operations of the IRB

Scheduling meetings. The IRB shall schedule routine meetings at intervals of six months, the day and time determined according to the convenience of the members. All meetings will take place as a teleconference call. The Chair may cancel routinely scheduled meetings or to schedule additional meetings based on the number and urgency of submitted proposals to review. The frequency of routinely scheduled meetings will be set to coincide with the annual release of the NAACCR analytic file and the bi-annual review and approval of research proposals by the NAACCR Data Evaluation and Publication Committee.

Distribution of Agenda and Supporting Materials. The Chair, or designee, shall provide each member with the following items no later than fourteen (14) calendar days prior to a scheduled meeting:

- Agenda; time and telephone bridge contact information; list of studies to be reviewed.
- Minutes of the previous meeting.
- All materials needed for review of studies on the agenda.

The Review Process. All proposals will be submitted to the chair for determining whether the research qualifies as an exempt research project. For projects that are NOT exempt, the chair will appoint one primary reviewer and one secondary reviewer to review the proposal in detail and each determines whether all necessary information is present for review, and makes a recommendation to the Chair as to whether the study is eligible for expedited review (see below) or requires full board review. For studies requiring full board review, the primary and secondary reviewers select which submitted materials are needed by the full board. The primary reviewer presents the study and their review based on the criteria in 45 CFR 46.111, and leads the discussion. The secondary reviewer also provides the full Board with their review. Both the primary and secondary reviewer are responsible for informing the Administrative Coordinator the materials to be sent to the other members, so that they all have sufficiently complete study documentation if needed during the discussion. Primary and secondary reviewers will be selected on a rotating basis with consideration of subject matter expertise and potential conflicts of interest, receives the complete study documentation for review.

When the primary and secondary reviewer do not agree whether the research project requires expedited or full board review, the proposal will be reviewed by the full board.

Once the review is completed, the principal investigator will receive:

1. A copy of the original Assurance form signed by the NAACCR IRB Chair.
2. A copy of the Data Confidentiality Agreement for NAACCR Researchers Form signed by the NAACCR Executive Director.
3. A copy of the Protection of Human Subjects Assurance Identification/IRB Certification/Declaration of Exemption form signed by the NAACCR IRB Chair.
4. A NAACCR IRB Review Summary indicating the Type of review approved (e.g., exempt, expedited, full) signed by the NAACCR IRB Chair.

Expedited Review Procedure. The primary reviewer may recommend and perform an expedited review after determining the study's eligibility for such review under federal regulation. No study may be disapproved by expedited review, but must be referred to the full board. All IRB members will be informed of studies that are approved by expedited review at the same time as the investigator. When

notified, any member of the IRB may request further consideration of a study approved under expedited review at the next scheduled IRB meeting, at which time the full Board may choose to review the study. Any suggestion by alternate or regular members will be considered and discussed by the IRB however, only voting members will vote on the matter. Investigators will be notified of this possibility at the time they receive the results of the expedited review.

Once a principal investigator has received a signed approval from an Expedited Review, the research project can proceed. The full IRB will have the opportunity to review the decision of the expedited review and raise objections. Any objection will need to be resolved through 1) discussion by the assigned reviewers and the Chair; (2) suggestions to overcome objection will be relayed to the principal investigator; (3) principal investigator will provide in writing any necessary amendments to procedures, forms, or documents to ameliorate the objection and respond to the reviewers' suggestion and in general show that the terms are accepted. If the objection is a major objection, the research must be halted until a meeting of the full IRB. In these instances, if the NAACCR IRB does not have a regularly scheduled meeting occurring within 30 days, an *ad hoc* meeting of the NAACCR IRB will be convened.

Modifications to Ongoing Studies. Modifications to ongoing studies will in general be reviewed in the same manner as the original study (e.g., expedited or full review), except that modifications that involve no more than minimal risk to human subjects may be reviewed on an expedited basis even when the original study was reviewed by the full board. The primary reviewer will make a recommendation to the Chair as to the manner or review of such modifications.

Voting Requirements. A quorum of the IRB is four (4) primary or alternate members, including the Chair, who are eligible to vote on the study (no conflict of interest). All alternate points of view will be discussed with points considered and noted in the minutes, however, a simple majority of those present and eligible to vote will be required for approval of a study. Only primary or alternate members designated by the Chair as voting members may vote at an IRB meeting. Whenever possible, alternate members will be notified in advance of their designation as voting members for a specific meeting. If neither the primary or alternate member is able to participate at the meeting (conference call), other alternates may be used to achieve a quorum. Proxy voting will not be permitted.

The NAACCR IRB can approve proposals contingent on ameliorating conditions as specified by the IRB. In this case, a revised proposal would be submitted to the Chair and the Chair has the authority to determine whether the proposed modifications eliminate the IRB original concerns.

Subsequent Review. The NAACCR Board of Directors, at the request of the President, may disapprove a study after the IRB has reviewed and approved it. Investigators will be notified of this possibility at the time they receive the results of the review. No one in the organization may approve a study after it has been disapproved by the IRB. There is no appeal process for studies disapproved by the IRB. This policy does NOT refer to resubmission of proposals that contain modifications to correct deficiencies noted by the IRB.

Communication from the IRB. Within one week of an IRB decision, the IRB will communicate the results to:

- The study principal investigator;
- All IRB members; and
- NAACCR President.

IRB Record Keeping

The following items shall be maintained as documentation of IRB activities, proceedings, and decisions:

- The current Federal Wide Assurance filed with OHPR.
- IRB Membership roster with member qualifications.

- IRB operating policies and procedures.
- Agendas and minutes of meetings. Minutes will include at a minimum:
    - Attendance of primary and alternate members
    - List of studies reviewed
    - Summary of discussion on debated or controversial issues
    - Record of IRB decisions
    - Individual member votes indicating a Yay or Nay vote, or an abstention.
- All protocols reviewed and approved consent documents, when applicable.
- All Communications with the IRB.
- Adverse reactions reports and documentation that the IRB reviewed such reports.
- Records of continuing review.
- Statements of significant new findings provided to subjects, if applicable

Records related to the study reviews will be maintained for one year in hard copy, then electronically archived following the NAACCR archiving procedure. Archived documents will be maintained in perpetuity.

Information Required for IRB Review

The principal investigator must provide the following information to the IRB for its review of human subjects protection:

- Principal investigator professional qualifications to conduct research, including a description of any support services or facilities necessary to the conduct of the research.
- A study protocol, including title, purpose and expected benefit of study, study sponsor, background information and results of previous research, study design, statement of potential risk to subjects, provision for managing adverse reactions, provisions to protect subjects' privacy, and provisions to protect confidentiality of information.
- For continuing studies, requests for changes in study must be included, as well as reports of unexpected adverse events, and progress reports from continuing reviews.

Although not currently in practice, if NAACCR research should involve the contact of human subjects at some time in the future, the following information should be submitted to the IRB in addition to the aforementioned list:

- Inclusion criteria for subjects, with justification when special populations are involved, description of procedures involving human subjects, unusual circumstances surrounding the consent procedure (if applicable), compensation for participants, cost to subjects to participate in the study, and proposed informed consent document.

Precedence

Every attempt has been made to establish these operating policies and procedures in conformance with NAACCR's Federal Wide Assurance and with 45 CFR 46 Protection of Human Subjects. Notwithstanding these policies and procedures, it is understood that the FWA and 45 CFR 46 take precedence.

Adoption and Amendment

These operating policies and procedures stand as approved by the NAACCR IRB at the meeting of April 4, 2003. They may be amended as needed by a majority vote at any subsequent IRB meeting. All amended policies and procedures so adopted will become effective at the conclusion of the meeting.

NAACCR IRB Members

Member Name	1st Term Began	Currrent Term Ends	Sex	Degree	Primary Specialty	NAACCR Affiliation	Comments
Voting Members							
IRB Chairperson: 1. John Fulton	2002	2011	M	PhD	Demography	Yes – Organization Member	Vice-Chairperson 2003-2005
2. John Morgan	2007	2009	M	DrPH	Epidemiology	Yes – Organization Member	
3. Jack Finch	2007	2009	M	MS	Statistics	Yes – Organization Member	
4. Deirdre Rogers	2008	2010	F	MS	Statistics	Yes – Organization Member	
5. Tara Hylton	2006	2010	F	MPH	Epidemiologist	Yes – Organization Member	Completed Stacey Neloms term
6. Suzanne Hornbeck	2009	2011	F		Grants coordinator	No	
Alternate Members							
1. Vivien W. Chen	2003	2009	F	PhD	Epidemiology	Yes – Committee Chair	
2. Will Athas	2003	2009	M	PhD	Epidemiology	Yes – Organization Member	
3. Maria Schymura	2002	2010	F	PhD	Biostatistics	Yes – Committee Chair	
4. Won Silva	2008	2010	F	MA		Yes – Organization Member	
5. Susan Carozza	2005	2011	F	PhD	Epidemiology	Yes – Organization Member	
6. Linda Muul	2007	2011	F	PhD	Microbiology	No	30 years of human clinical research. Completing Maria Murillo's term.

Contact and Communication

Electronic submissions of applications for NAACCR IRB review is preferred. All forms have been designed for use in electronic media. The forms are available by sending a request by email to rahinds@naaccr.org.

Email

All correspondence should be sent by email to:

Royale Anne Hinds, Administrative Coordinator for the IRB
rahinds@naaccr.org

Mail

Correspondence may be sent by mail to:

Royale Anne Hinds, Administrative Coordinator for the IRB
NAACCR
2121 West White Oaks Drive
Springfield, Illinois 62704-6495

Telephone

All inquiries, please call:

Royale Anne Hinds, Administrative Coordinator for the IRB
(217) 698-0800 ext. 6

Fax

Correspondence may be sent by fax to:

(217) 698-0188
Attention: Royale Anne Hinds, Administrative Coordinator for the IRB

GENERAL POLICIES OF THE INSTITUTIONAL REVIEW BOARD (IRB)

Date	Policy on:	Description
4-3-03	Exempt Review	The current information received from the call for data submissions, which is gathered on the CINA Analytic File, is not identifiable and therefore, applications using this file can be considered appropriate for exempt review.
10-3-03	Vice-Chairperson	A Vice-Chairperson will be appointed from the IRB Voting Members to follow the review process in absence of the Chairperson. The Chair may excuse him or herself when listed as the Principal Investigator. The Vice-Chair will sign the Protection of Human Subjects Form for all projects of the Chair and in absence of the Chair.
10-3-03	Review of project with a special dataset that appears to be an exempt application	When a special dataset has to be created for a project, the Chair of the IRB can complete the review of the project, as long as the Chair is not also the PI.
10-3-03	Upon completion of exempt review	The exempt review will be sent to all IRB members and alternates. If any person disapproves with the decision, they can notify the Chair within 10 days that it needs to be reviewed as expedited.
10-3-03	Upon completion of expedited review	The expedited review will be sent to all IRB members and alternates. If any person disapproves with the decision, they can notify the Chair within 10 days that it needs to be reviewed by the full IRB Board.
10-3-03	Reviewer disagreements	The more conservative level of review will be followed (e.g. exempt and expedited, the application will be considered as an expedited application)
4-15-05	Final manuscript review	To confirm that the final product is consistent with IRB approval, the Chair of the IRB will conduct a follow-up review of the manuscript before the manuscript is forwarded to the SEB.
10-28-05	Exempt Review using the CBSM file	The current information received from the call for data submissions, which is gathered on the CINA Analytic File and the County Based Socio-economic Measure (CBSM), is not identifiable and therefore, applications using this file can be considered appropriate for exempt review.

FORMS

Proposal Review Summary Form
Proposal Cover Sheet
Application Form
Assurance of Principal Investigator
Data Confidentiality Agreement for NAACCR Researchers
Protection of Human Subjects
Sample Informed Consent Form
Human Subjects Research Monitoring Report
Human Subjects Research Progress Report

North American Association of Central Cancer Registries
Institutional Review Board On Human Subjects (IRB)

PROPOSAL REVIEW SUMMARY FORM

Principal Investigators Please Note: All exempt and expedited reviews should be considered preliminary reviews. Decisions conducted under these reviews will be reviewed by the full NAACCR IRB and may be revised. Additional or modified procedures may be requested. The principal investigator will be required to respond to these suggestions as quickly as possible to prevent interruption in the conduct of the research project.

Reviewer Name _____

Reviewer Signature _____

Date of Review _____

IRB Application No. _____

Principal Investigator _____

Project Title _____

Brief Summary of Proposal _____

IRB Decision

☐ Exempt Research. On April 4, 2003 at their regular meeting, the IRB decided that the current information received from the call for data submissions, which is gathered on the CINA Analytic File, is not identifiable and therefore, applications using this file can be considered appropriate for exempt review. [Provide basis for decision]_____

☐ Approved ☐ Not approved, referred for expedited review

☐ Expedited Review. [Provide basis for decision] _____

☐ Approved ☐ Not approved, referred for full IRB review

☐ Full IRB Review. [Provide basis for decision] _____

☐ Approved ☐ Not approved

Note Bene IRB Members: If you have any objections to the completed review, please contact the NAACCR IRB Chair within two (2) weeks.

North American Association of Central Cancer Registries
Institutional Review Board On Human Subjects (IRB)

PROPOSAL COVER SHEET

1. IRB Application No. _____ (to be filled in by NAACCR IRB)

2. Review Requested: ☐ Exempt (see pp. _____)
☐ Expedited (see pp. _____)
☐ Full Board (see pp. _____)

Note: Final determination of the type of review to be performed rests with the NAACCR IRB.

3. Date of Request: _____

4. A. Principal Investigator: _____

Affiliation: _____

Address: _____

Tel: _____ Fax: _____ Email: _____

4. B. If Principal Investigator is a student working with a faculty advisor, provide information below:

Faculty Advisor: _____

Faculty Advisor's Address: _____

Faculty Advisor's Affiliation: _____

5. Project Title: _____

6. Anticipated Number of Subjects: _____ 7. Project start date: _____ End date: _____

8. Has funding been requested? Yes ☐ No ☐

If yes, complete the following: Sponsoring Agency: _____

Proposal Submission Date: _____

9. Does the project involve:	Yes	No
Research on Fetuses, Pregnant Women, or Human *InVitro* Fertilization?	☐	☐
Research on Minors?	☐	☐
Research on Prisoners?	☐	☐

10. Does the project preserve:	Yes	No
Subjects' Anonymity?	☐	☐
Subjects' Confidentiality?	☐	☐

11. Identify on a separate sheet any other participants (individuals, institutions, agencies) involved in the project and provide the date IRB approval was received or requested for each. Attach other IRB approval documents and/or letters of agreement to participate, as available.

DO NOT WRITE BELOW THIS LINE

Date of Annual Review: _____ Signature: _____
Application Complete: _____ *Administrative Coordinator, NAACCR IRB*
Signatures on file: _____

North American Association of Central Cancer Registries
Institutional Review Board On Human Subjects (IRB)

APPLICATION FORM

Complete all sections unless otherwise indicated. Attach continuation pages as needed.

1. Project Title: _____
2. Principal Investigator: _____
3. Institutional Affiliation: _____
4. Telephone Number: _____
5. Sponsor of the Study: _____
6. What is the projected start date? _____
7. What is the projected end date? _____
8. Is the project eligible for expedited review? (See pages _____-_____.)
   ☐ Yes ☐ No
9. If Yes, on what basis? (Refer to categories on pages _____-_____.)
   _____
10. Principal Investigator's professional qualifications to do the research, including a description of any necessary support services and facilities:
    _____
11. What is the purpose of the project, including the expected scientific benefits to be gained by doing the project?
    _____
12. What are the potential benefits, if any, to the individual human subjects?
    _____
13. What are the results of previous related research, if any?
    _____
14. Are certain potential human subjects excluded?
    ☐ Yes ☐ No
15. If Yes, please describe criteria for inclusion/exclusion:
    _____
16. What is the justification for inclusion of the proposed subjects? Provide specific justification for inclusion of any special/vulnerable populations, i.e., fetuses, pregnant women, and human *in vitro* fertilization; prisoners; and children: (See page _____.)
    _____

17. Describe the study design, including, as needed, a discussion of the appropriateness of research methods:

    _____

18. Describe the procedures to be performed on human subjects and/or the proposed uses of personally identifiable data:

    _____

19. Describe all potential risks of harm to subjects, including those related to any proposed use of personally identifiable data: (See page _____.)

    _____

20. What are the provisions for managing adverse reactions, outcomes, or events resulting from participation in the research?

    _____

21. What provisions are being made for the protection of the human subjects' privacy?

    _____

22. Describe the Informed Consent Procedures:

    A) Description of circumstances surrounding the consent procedure, including setting, subject autonomy concerns, language difficulties, vulnerable populations:

    _____

    B) Protocols for "verbal informed consent" used in telephone surveys:

    _____

    C) Procedures for documenting informed consent, including any procedures for obtaining assent from minors, using witnesses, translators, and document storage:

    _____

23. What are the costs <u>to</u> subjects for their participation in the study, if any?

    _____

24. What is the compensation to subjects for their participation, if any?

    _____

25. What provisions are being made for the protection of confidential information related to the human subjects? (See page _____.)

    _____

26. What are the procedures for protection or erasure of confidential data when the project ends?

    _____

27. When a consent form is sent to registries, the request should read:

    _____

28. Any additional information or clarifications the investigator would like to present:

    _____

North American Association of Central Cancer Registries
Institutional Review Board On Human Subjects (IRB)

ASSURANCE OF PRINCIPAL INVESTIGATOR

Principal Investigator: _____

Institutional Affiliation: _____

Project Title: _____

1. I CERTIFY as follows concerning the above named research proposal in which I am the principal investigator:

2. The rights and welfare of the subjects will be adequately protected.

3. Risks or discomfort (if any) to subjects have been clearly and fully presented, and it has been shown how they are outweighed by potential benefits to the individual subject or by the importance of the knowledge to be gained.

4. The informed consent of subjects will be obtained by appropriate methods, which meet the requirements of federal regulations and the IRB.

5. Any proposed changes in research activity will be reported to the IRB. Those changes may not be initiated without IRB review and approval except where necessary to eliminate apparent immediate hazard to the subjects.

6. Any unanticipated problems involving risks to human subjects or others will promptly be reported to the IRB.

7. I have reviewed and agree to comply with all federal, state, and local laws, rules, regulations, policies, and procedures related to the protection of human subjects.

Signature: _____Date: _____
Principal Investigator

Acknowledged: _____Date: _____
Chair, NAACCR IRB

DATA CONFIDENTIALITY AGREEMENT FOR NAACCR RESEARCHERS

Agreement executed this _____ day of _____, 200___, by and between _____ ("Researcher") of _____,

_____ *(Name)*

and **NORTH AMERICAN CENTRAL CANCER REGISTRIES, INC.** ("NAACCR"), a California corporation. Researcher is engaged in research into the causes, control, or prevention of cancer, specifically described as follows:

_____

_____

_____

NAACCR collects and maintains certain research data (the "Data") that will or may assist Researcher in this regard. Researcher agrees and acknowledges that patient confidentiality is of the utmost importance in the use of the Data and in the manner in which all research results are presented and/or published. Accordingly, in consideration of his/her receipt of the Data from NAACCR, Researcher agrees as follows:

1. Researcher agrees to treat the Data received from NAACCR as private, non-public health information. The Data will be used solely for the specified research described hereinabove and not for any other purpose. The Data will never be used as a basis for legal, administrative or other adverse actions that can directly affect any individual about whom personal and/or medical information is included in the Data.

2. Researcher understands and agrees that any and all Data which may lead to the identity of any patient, research subject, physician, other person, or reporting facility is strictly privileged and confidential and agrees to keep all Data strictly confidential at all times.

3. If, in the course of his/her research, Researcher believes it necessary to provide access to the Data to any other individual, Researcher will **NOT** do so unless and until such individual has properly executed a Data Confidentiality Agreement that has been accepted, in writing, by NAACCR. And, Researcher agrees to notify NAACCR in writing within forty-eight (48) hours of his/her becoming aware of any violation of this Confidentiality Agreement or any Confidentiality Agreement executed by any other individual, including full details of the violation and corrective actions to be taken by Researcher.

4. Researcher further agrees that all data provided under the provisions of this Data Confidentiality Agreement may only be used for the purposes described hereinabove, and that any other or additional use of the data may result in immediate termination of this Confidentiality Agreement by NAACCR.

5. Researcher agrees that (i) any and all reports or analyses of the Data prepared by Researcher shall contain only aggregate data. Researcher further agrees that (ii) at no time will he/she ever publish any individual names or other personally identifying information or information which could lead to the identification of any Data subject, and (iii) no report of the Data containing statistical cells with less than six (6) subjects shall be released without the prior written authorization of NAACCR's Executive Director, who has received written authorization from contributing registries.

6. Researcher agrees that linkage to another database is not permitted for the purpose of identifying an individual on the file, but may be permitted if appropriate linkage is described in the proposal and this linkage is approved by the NAACCR IRB.

7. Researcher further agrees that all data provided under the provisions of this Confidentiality Agreement shall remain the sole property of NAACCR and may not be copied or reproduced in any form or manner without NAACCR's prior written consent.

8. Researcher shall indemnify NAACCR from any and all liability, loss, or damage (including attorneys' fees) suffered as a result of claims, demands, costs or judgments arising out of the failure of Researcher or those acting in connection with Researcher to conform to and obey the provisions of this Data Confidentiality Agreement. In the event a claim should be brought or an action filed against NAACCR in connection with any such failure, Researcher agrees that NAACCR may employ attorneys of its own selection to appear and defend the claim or action on behalf of NAACCR, at the expense of Researcher. NAACCR, at its option, shall have the sole authority for the direction of the defense and shall be the sole judge of the acceptability of any compromise or settlement of any claims or action against NAACCR.

9. Researcher will not take any action that will provide any Data furnished by NAACCR to any unauthorized individual or agency without the prior written consent of NAACCR.

10. Researcher will not discuss in any manner, with any unauthorized person, information that would lead to identification of individuals described in the Data furnished by NAACCR. Also, Researcher will not provide any computer password or file access codes that protect the Data to any unauthorized person.

11. Should Researcher become aware of any unauthorized access or disclosure of the Data to other persons, Researcher will report it immediately to NAACCR's Executive Director. Researcher understands that failure to report violations of confidentiality by others shall be considered as Researcher's own violation and may result in civil or criminal penalties and termination of current and future access to confidential data.

12. In the event that any attempt is made to obtain from Researcher any or all of the Data provided to Researcher by NAACCR by subpoena or other legal means, Researcher will notify NAACCR immediately. Researcher agrees that NAACCR may employ attorneys of its own selection to appear and defend the claim or action on behalf of NAACCR. NAACCR, at its option, shall have the sole authority for the direction of the defense and shall be the sole judge of the acceptability of any compromise or settlement of any claims or action against NAACCR.

13. Researcher's obligations hereunder shall remain in full force and effect and survive the completion of Researcher's research project described hereinabove.

14. The terms of this Confidentiality Agreement shall be binding upon Researcher, his/her agents, assistants and employees.

15. Notwithstanding any contrary language in this Confidentiality Agreement, Researcher acknowledges and agrees that Researcher's access to the Data maintained by NAACCR shall at all times be in the sole discretion of NAACCR.

16. NAACCR reserves the right to review any and all of Researcher's reports prior to dissemination or Researcher's manuscripts before submission for publication to ensure that confidentiality is not violated and the Data are used appropriately.

17. Researcher understands that access to the Data will be terminated when the report is submitted to the NAACCR Scientific Editorial Board or on May 1, the release date of an updated NAACCR analytic file, whichever is sooner. However, the researcher may request in writing an extension to access the Data.

18. If Researcher is required by any other party or parties, including the state or a state agency, to execute any additional confidentiality agreement(s) as a condition of access to the Data, in the event of a conflict between the provisions of such agreement and this Agreement, Researcher agrees that the most restrictive agreement shall prevail.

19. This Confidentiality Agreement shall be governed by and interpreted under the laws of the State of Illinois.

Dated this _____ day of _____, 200__.

Researcher _____ ("Researcher" Signature)

_____(Print Name)
Address: _____
_____
_____
E-mail address:_____
Phone: ( ) _____ ext.

Received and accepted this _____ day of _____, 200__.

North American Association of Central Cancer Registries, Inc.
By:_____
Its_____

OMB No. 0990-0263
Approved for use through 1/31/2012

Protection of Human Subjects
Assurance Identification/IRB Certification/Declaration of Exemption
(Common Rule)

Policy: Research activities involving human subjects may not be conducted or supported by the Departments and Agencies adopting the Common Rule (56FR28003, June 18, 1991) unless the activities are exempt from or approved in accordance with the Common Rule. See section 101(b) of the Common Rule for exemptions. Institutions submitting applications or proposals for support must submit certification of appropriate Institutional Review Board (IRB) review and approval to the Department or Agency in accordance with the Common Rule. Institutions must have an assurance of compliance that applies to the research to be conducted and should submit certification of IRB review and approval with each application or proposal unless otherwise advised by the Department or Agency.

1. Request Type	2. Type of Mechanism	3. Name of Federal Department or Agency and, if known, Application or Proposal Identification No.
[ ] ORIGINAL [ ] CONTINUATION [ ] EXEMPTION	[ ] GRANT [ ] CONTRACT [ ] FELLOWSHIP [ ] COOPERATIVE AGREEMENT [ ] OTHER:_____	
4. Title of Application or Activity		5. Name of Principal Investigator, Program Director, Fellow, or Other

6. Assurance Status of this Project *(Respond to one of the following)*

[ ] This Assurance, on file with Department of Health and Human Services, covers this activity:
Assurance Identification No._____, the expiration date_____ IRB Registration No. _____

[ ] This Assurance, on file with *(agency/dept)*_____, covers this activity.
Assurance No._____, the expiration date_____ IRB Registration/Identification No._____*(if applicable)*

[ ] No assurance has been filed for this institution. This institution declares that it will provide an Assurance and Certification of IRB review and approval upon request.

[ ] Exemption Status: Human subjects are involved, but this activity qualifies for exemption under Section 101(b), paragraph_____.

7. Certification of IRB Review (Respond to one of the following IF you have an Assurance on file)

[ ] This activity has been reviewed and approved by the IRB in accordance with the Common Rule and any other governing regulations.
by: [ ] Full IRB Review on (date of IRB meeting) _____ or [ ] Expedited Review on (date)
[ ] If less than one year approval, provide expiration date _____

[ ] This activity contains multiple projects, some of which have not been reviewed. The IRB has granted approval on condition that all projects covered by the Common Rule will be reviewed and approved before they are initiated and that appropriate further certification will be submitted.

8. Comments

9. The official signing below certifies that the information provided above is correct and that, as required, future reviews will be performed until study closure and certification will be provided.	10. Name and Address of Institution
11. Phone No. *(with area code)* 12. Fax No. *(with area code)* 13. Email:	
14. Name of Official	15. Title
16. Signature	17. Date

Authorized for local Reproduction

Sponsored by HHS

Public reporting burden for this collection of information is estimated to average less than an hour per response. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to: OS Reports Clearance Officer, Room 503 200 Independence Avenue, SW., Washington, DC 20201. *Do not return the completed form to this address.*

SAMPLE INFORMED CONSENT FORM

Title of Project _____

Introductory section should begin with words to this effect:
You have been asked to take part in a research project described below. The researcher will explain the project to you in detail. You should feel free to ask questions. If you have more questions later, {Name of P.I.}, the person mainly responsible for this study, { Phone }, will discuss them with you. You must be at least 18 years old to be in this research project (if appropriate).

Description of the project:
You have been asked to take part in the study that {here describe the nature of the study and the purpose of the research}.

What will be done:
If you decide to take part in this study here is what will happen: {explanation of what will happen to the subject; how long the subject will be involved in the study; and state what portions, if any, are considered experimental. Explain alternative procedures, if any}.

Risks or discomfort:
{Explain any risks or discomfort that might reasonably be expected to happen. If there are no risks or discomforts, state that here}.

Benefits of this study:
{Describe benefits to the subject, or to others, of this study. If of no direct benefit to the subject, include a sentence to the following effect:} Although there will be no direct benefit to you for taking part in this study, the researcher may learn more about { }. (NOTE: payment given to the subject for participation in the study is not a benefit, it is a recruitment incentive.)

Confidentiality:
{Describe the way confidentiality of records identifying the subject will be maintained. Use words to the following effect, if appropriate:} Your part in this study is confidential. No information will be released that identifies you by name. All records will {describe how records are to be maintained}.
{Or, if the study involves information that legally must be reported to government agencies, then include the following:} My part in this study is confidential within legal limits. The researchers and the sponsoring agency will protect your privacy, unless they are required by law to report information to city, state or federal authorities, or to give information to a court of law. Otherwise, none of the information will identify you by name. All records will be {describe how they are to be maintained}.
{Alternatively, if the study is anonymous, then this should be stated here. Indicate to the subject how anonymity will be preserved.}

In case there is any injury to the subject: (If applicable)
{Explain whether any medical or other treatment is available if injury occurs, and who to contact; use words to this effect:} If this study causes you any injury, medical treatment will be provided to you through { }, and this treatment will be paid for by { }. To report any injury that happens because you agreed to be in this study, you should write or call { }.

Decision to quit at any time:
{Use words to the following effect:} The decision to take part in this study is up to you. You do not have to participate. If you decide to take part in the study, you may quit at any time. Whatever you decide will in no way {penalize you} {affect your benefits, medical care}{etc.} {insert appropriate language}. If you wish to quit, you simply inform {name and phone number of principal investigator} of your decision.
Rights and Complaints:

{Use words to the following effect:} If you have any questions later about your rights as a participant in this research, or if you are not satisfied with the way this study is performed, you may speak with {P.I.'s Name} or with {name and phone of individual}, anonymously, if you choose. In addition, you may contact { }, who is the Administrator of the Institutional Review Board of the Rhode Island Department of Health, at { }.

You have read the Consent Form. Your questions have been answered. Your signature on this form means that you understand the information and you agree to participate in this study.

_____	_____
Signature of Participant	Signature of Researcher
_____	_____
Typed/printed Name	Typed/printed name
_____	_____
Date	Date

CONSENT FORM
(*Name of Project*)

1.1 TEAR OFF AND KEEP THIS FORM FOR YOURSELF

Dear Participant:

1. You have been asked to take part in the research project described below. If you have any questions, please feel free to call (*Principal Investigator, phone number*), the person mainly responsible for this study.
2. The purpose of this study is to (*state purpose*). Responses to these items will be (*state how responses will be collected and how confidentiality will be maintained).*
3. **YOU MUST BE AT LEAST 18 YEARS OLD** to be in this research project or to consent to your child's participation.
4. If you decide to take part in this study, your participation will involve (describe procedures) pertaining to (*state appropriate information*).
5. The possible risks or discomforts of the study are minimal, although you may feel some embarrassment answering questions about private matters (*delete last phrase if it is not appropriate for your project*).
6. Although there are no direct benefits of the study, your answers will help increase the knowledge regarding (*state appropriate information*).
7. Your part in this study is confidential. That means that your answers to all questions are private. No one outside the project can know if you participated in this study or know any information about your participation. Scientific reports will be based on group data and will not identify you or any individual as being in this project.
8. The decision to participate in this research project is up to you. You do not have to participate and you may quit at any time.
9. Participation in this study is not expected to be harmful or injurious to you. However, if this study causes you any injury, you should call the "IRB Administrator" at the Rhode Island Department of Health, (401) 222-2550.

If you have any more questions or concerns about this study, you may contact _____at_____.
You are at least 18 years old. You have read the consent form and your questions have been answered to your satisfaction. Your filling out the survey implies your consent to participate in this study.
If these questions are upsetting and you want to talk, please use the phone numbers below: (*appropriate in cases where questions are of a sensitive nature*)
(*Names and phone numbers of resources available, e.g., Counseling Center, Women's Resource Center, AA, etc.*).

Thank you, (*Name of Investigator*)

North American Association of Central Cancer Registries
Institutional Review Board On Human Subjects (IRB)

HUMAN SUBJECTS RESEARCH MONITORING REPORT

IRB Application No.: _____

Project Title: _____

Principal Investigator: _____

Is this project complete? Yes ☐ No ☐

If no, you must complete the Human Subjects Research Progress Report, which includes a brief report describing the progress of your research.

Signature:_____ Date: _____
Principal Investigator

North American Association of Central Cancer Registries
Institutional Review Board On Human Subjects (IRB)

HUMAN SUBJECTS RESEARCH PROGRESS REPORT

Project Title: _____ IRB Application No.: _____

Principal Investigator/Organization: _____

Date of Initial Review: _____ Type of Initial Review: ☐ Exempt ☐ Expedited ☐ Full Board

Date of Previous Review: _____ Continuing Review Number (1st, 2nd, etc.): _____

Agency or Funding Source: _____

1. Have you modified your research protocol or your consent form in <u>any</u> way since your last review? Yes ☐ No ☐ If you have made modifications, you are required to submit a revised protocol and/or revised consent form to the IRB for review.
2. Has there been any change in personnel with access to the data file? Yes ☐ No ☐ If yes, list their name(s). _____
3. What is your projected date of completion? _____
4. Are the subjects under study members of a special population such as minors, fetuses, abortuses, pregnant women, prisoners, or the mentally disabled? Yes ☐ No ☐ Not applicable due to Exempt Review ☐ If yes, specify which special populations: _____
5. Are human subjects in this project considered to be at more than "minimal risk" as defined in the Code of Federal Regulations, 45 CFR 46, Protection of Human Subjects? ("Minimal risk" means that the risks of harm anticipated in the proposed research are not greater, considering probability and magnitude, than those ordinarily encountered in daily life or during routine physical or psychological examinations or tests.) Yes ☐ No ☐ Not applicable due to Exempt Review ☐
6. Number of subjects entered into the project during the last project year: _____ Not applicable due to Exempt Review ☐
7. Number of solicited subjects who declined to participate in this project during the last project year: _____ Not applicable due to Exempt Review ☐
8. Number of subjects who withdrew from the project during the last project year: _____ Not applicable due to Exempt Review ☐ If any, attach a description of the reason(s) for withdrawal.
9. Number of consent forms signed during the last project year: _____ Not applicable due to Exempt Review ☐
10. Were any adverse events, side effects, untoward clinical reactions or newly recognized risks, etc., noted during the last project year? Yes ☐ No ☐ Not applicable due to Exempt Review ☐ If yes, attach a description of all adverse consequences and the number of times noted. Identify any that were unanticipated and not specified as risks in the informed consent statement. Describe the strategies adopted to reduce or avoid the observed adverse consequences.
11. Are subjects paid a fee or offered other inducement to participate? Yes ☐ No ☐ Not applicable due to Exempt Review ☐
12. Write and attach a brief (200 words or less) report describing the progress of your research thus far. Include a summary of any recent literature, findings or information that has become available since the last review concerning risks associated with the research.
13. Please attach a copy of your current consent form. Not applicable due to Exempt Review ☐

Signature: _____Date: _____
Principal Investigator