

**Attachment 9**  
**Certification of Confidentiality**



National Institutes of Health  
National Cancer Institute  
Bethesda, Maryland 20892

12-20-2006

Dr. E. Richard Brown  
UCLA Center for Health Policy Research  
10911 Weyburn Avenue, Suite 300  
Los Angeles, CA 90024

Dear Dr. Brown,

Enclosed is the amended Confidentiality Certificate protecting the identity of research subjects in your project entitled "California Health Interview Survey 2005 and 2007." Please note that the Certificate expires on 12/31/2013.

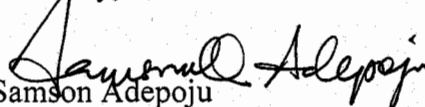
Please be sure that the consent form given to research participants accurately states the intended uses of personally identifiable information (including matters subject to reporting) and the confidentiality protections, including the protection provided by the Certificate of Confidentiality with its limits and exceptions.

If you determine that the research project will not be completed by the expiration date, 12/31/2013, you must submit a written request for an extension of the Certificate three months prior to the expiration date. If you make any changes to the protocol for this study, you should contact me regarding modification of this Certificate. Any requests for modifications of this Certificate must include the reason for the request, documentation of the most recent IRB approval, and the expected date for completion of the research project.

Please advise me of any situation in which the certificate is employed to resist disclosure of information in legal proceedings. Should attorneys for the project wish to discuss the use of the Certificate, they may contact the Office of the NIH Legal Advisor, National Institutes of Health, at (301) 496-6043.

Correspondence should be sent to: Samson Adepoju, Institute Review Office, National Cancer Institute, 6116 Executive Blvd., Suite 212, MSC 8349, Bethesda, Maryland 20892-8349  
Phone: (301)-496-7628, Fax: (301)-435-1832

Sincerely,

  
Samson Adepoju  
Certificate Coordinator

Enclosures



National Institutes of Health  
National Cancer Institute  
Bethesda, Maryland 20892

CONFIDENTIALITY CERTIFICATE

NCI-05-005A

issued to

UCLA Center for Health Policy Research

conducting research known as

N02-PC-45019-40

"California Health Interview Survey 2005 and 2007"

In accordance with the provisions of section 301(d) of the Public Health Service Act 42 U.S.C. 241(d), this amended Certificate is issued in response to the request of the Principal Investigator, E. Richard Brown, to protect the privacy of research subjects by withholding their identities from all persons not connected with this research. Dr. Brown is primarily responsible for the conduct of this research which is supported by the National Cancer Institute.

Under the authority vested in the Secretary of Health and Human Services by section 301(d), all persons who:

1. are enrolled in, employed by, or associated with the UCLA Center for Health Policy Research and its contractors or cooperating agencies, and
2. have in the course of their employment or association access to information which would identify individuals who are the subjects of the research pertaining to the project known as "California Health Interview Survey 2005 and 2007"

are hereby authorized to protect the privacy of the individuals who are the subjects of that research by withholding their names and other identifying characteristics from all persons not connected with the conduct of that research.

The California Health Interview Survey (CHIS) is a public health surveillance system that provides standardized state and local population-based health data for California. The intent is to conduct biennial surveys on health and health care access for Californians. CHIS 2001, CHIS 2003, and CHIS 2005 have been completed and are now in the analysis and dissemination phase. CHIS 2007 is now in the planning stages and will be fielded in 2007.

CHIS is a telephone interview of approximately 48,000 households in the State of California. The sample design is a targeted random-digit-dial (RDD) sample of the civilian non-institutionalized population living in households with telephones.

A Certificate is needed because sensitive medical and personal information will be collected from subjects for research purposes during the course of this study. This Certificate will help researchers avoid involuntary disclosure, which could expose subjects and their families to adverse economic, psychological, and social consequences.

CHS data will be collected via telephone interview by Westat, Inc. using the RDD technique. All data collected will be stored electronically on computers with secured access. At the completion of data collection, Westat will separate the contact data and any other data items that may directly reveal the identity of the respondent. This information will be stored in two separate ID files: one that contains contact data on respondents who have agreed to be re-contacted for potential follow-back studies and another that contains information on all other CHIS respondents.

This research began on 5/1/2005 and ends on 12/31/2012.

As provided in section 301(d) of the Public Health Service Act 42 U.S.C. 241 (d):

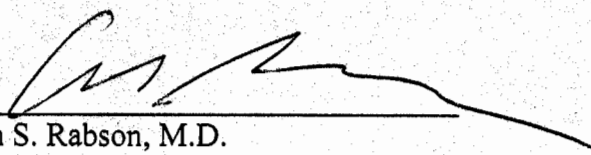
"Persons so authorized to protect the privacy of such individuals may not be compelled in any Federal, State, or local civil, criminal, administrative, legislative, or other proceedings to identify such individuals."

This Certificate does not protect you from being compelled to make disclosures that: (1) have been consented to in writing by the research subject or the subject's legally authorized representative; (2) are required by the Federal Food, Drug, and Cosmetic Act (21 U.S.C. 301 et seq.) or regulations issued under that Act; or (3) have been requested from a research project funded by NIH or DHHS by authorized representatives of those agencies for the purpose of audit or program review.

This Certificate does not represent an endorsement of the research project by the Department of Health and Human Services. This Certificate is now in effect and will expire on 12/31/2013. The protection afforded by this Certificate of Confidentiality is permanent with respect to any individual who participate as a research subject (i.e., about whom the investigator maintains identifying information) during any time the Certificate is in effect.

Date

12/21/46



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Alan S. Rabson, M.D.  
Deputy Director  
National Cancer Institute  
National Institutes of Health