

NCEH/ATSDR Human Subjects Research Determination Form

Use this form and the flowcharts for either:

1. CDC projects and activities that do not require CDC IRB review under HHS Human Subjects (45 CFR part 46) or FDA (21 CFR parts 50 and 56) Regulations, which include "non-research", "research not involving identifiable human subjects," or "human subjects research for which CDC is not engaged"; OR
2. Human subjects research that will be submitted to the Human Research Protection Office (HRPO) as an Exempt Category of Human Subjects Research.

Project Title: ASARCO Smelter Exposure Investigation

Project Location(s)/Site(s): Hayden, AZ

Project Officer(s): Bruce Tierney

Telephone: 770-488-0771

Division or Office: DCHI

Proposed Project Dates: Start: 4/10/2014 End: 4/10/2015

Time sensitive:

Project Funding and Partners (answer both): HHS: CDC funding - internal program Non-HHS: Choose an item.

If applicable, name participating external institution(s). N/A

Indicate the holder of the key to decipher the identities of coded data or biological specimens. CDC

Specify CDC role (mark all that apply):

CDC is the sole institution conducting activity; OR

If not the sole institution, indicate if:

CDC is NOT a recipient or provider of private data, specimens, materials or services; OR

CDC is provider of private data/specimens to an institution.

CDC is recipient of private data/specimens from an institution.

CDC is provider of materials/services to an institution.

CDC is recipient of materials/services from an institution

Questions 1-4 pertain to the HHS Human Subjects Regulations (45 CFR 46):

1. For CDC: Is this activity classified as research?

YES NO

A. Is the activity a systematic investigation including research development, testing, and evaluation?

YES NO

B. Is the activity intentionally designed to develop OR contribute to generalizable knowledge?

YES NO

CDC activity IS research if both 1A and 1B are "YES."

If 1 is "NO," then STOP; otherwise continue.

2. For CDC: Is this research classified as human subjects research?

YES NO

A. Does the activity only involve the collection or analysis of non-human data, including entities, organizations, or environmental materials?

YES NO

B. Does the activity only involve the collection or analysis of data or specimens from deceased persons?

YES NO

CDC activity IS NOT human subjects research if either 2A or 2B are "YES."

If 2 is "NO," then STOP; otherwise continue.

C. Do CDC employees intervene with, interact with, or obtain informed consent from living persons?

YES NO

D. Are/Were the data or specimens collected from living persons specifically for this proposed activity?

YES NO

E. Are/Were extra data or specimens collected from living persons specifically for this proposed activity?

YES NO

F. Do/Will CDC employees or agents have access to the link between the data or specimens and the identity of these living persons?

YES NO

CDC activity IS human subjects research if 2C is "YES."

CDC activity IS NOT human subjects research if 2D, 2E, and 2F are all "NO."

If 2 is "NO," then STOP; otherwise continue.

3. For CDC: Will this activity be submitted to HRPO for approval as exempt human subjects research?

YES NO

A. Does the research pose more than minimal risk?

YES NO

B. Will prisoners be involved?

YES NO

C. Will interaction with children occur or will identifiable private information about them be obtained?

YES NO

D. Based on the HRPO Worksheet for Exemption from Human Subjects Regulations, is there an HHS Exempt

YES NO

Research Category for which this activity will be reviewed? If "YES," specify the Category number: Choose an item.

CDC activity IS exempt human subjects research if 3A, 3B, and 3C are all "NO," and an exempt category (3D) applies.

Exempt research must go to HRPO; use CDC Form 0.1250X.

If 3 is "YES," then STOP; otherwise continue.

4. Is CDC *engaged* in the non-exempt research involving identifiable human subjects? YES NO
- A. Did CDC receive funding directly from another HHS agency? YES NO
- B. Do CDC employees or agents intervene or interact with living individuals for research purposes? YES NO
- C. Do CDC employees or agents obtain individually identifiable private information? YES NO

CDC IS engaged if 4A, 4B, or 4C are "YES."
If 4 is "NO," then STOP. Otherwise, research must go to HRPO; use CDC Form 0.1250.

Question 5 pertains to research involving FDA regulated products (21 CFR parts 50 and 56), not including the use of an FDA approved product in the course of medical practice:

5. Based on the HRPO Worksheet to Determine FDA Regulatory Coverage, is the research activity subject to FDA human subjects regulations? YES NO

Additional Notes:

Although CDC HRPO review is not required, investigators or project officers must adhere to ethical principles and standards to respect and protect the privacy, confidentiality, and autonomy of participants. All applicable State and Federal privacy laws must be followed. Informed consent may be appropriate. Information disclosed in the consent process should address the basic elements of consent. The consent form and all other required supporting documents must be submitted with this form for review. The list of required documents is found in the NCEH/ATSDR Guide to Project Development.

Division Approval Signatures:

Susan M. Moore -S
Digitally signed by Susan M. Moore-S
DN: c=US, o=U.S. Government, ou=HHS,
ou=CDC, ou=People, cn=Susan M. Moore-S,
s.9.2.242.1920000.1001.1e1001280483
Date: 2014.07.25 12:18:45-0400

Date: 7/25/2014

Branch Chief

Lynn Wilder -S

Digitally signed by Lynn Wilder-S
DN: c=US, o=U.S. Government, ou=HHS,
ou=CDC, ou=People, cn=Lynn Wilder-S,
s.9.2.242.19200000.1001.1e1001005021
Date: 2014.07.25 11:34:53 -0400

Date: 7/25/2014

Division ADS/Director

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Request Received Date: Click here to enter a date.

- CDC's role does not require HHS human subjects review beyond the center level because:
- Activity is not research (Flow chart category NR-1).
 - Activity is not human subjects research (Flow chart category NR-2 through NR-8).
 - Activity is non-exempt human subjects research, but CDC is not engaged (Flow chart category HSR-3).
- CDC's role does require HHS human subjects review beyond the center level because:
- Activity qualifies as exempt human subjects research (Flow chart category HSR-1).
 - Activity qualifies as non-exempt, engaged human subjects research (Flow chart category HSR-2).
- CDC's role does not require FDA human subjects review beyond the center level because:
- Activity does not require human subjects review under FDA regulations (Flow chart category NFDA-3 through NFDA-4).
- CDC's role does require FDA human subjects review beyond the center level because:
- Activity qualifies as human subjects research under FDA regulations (Flow chart category FDA-1 through FDA-2).

Center Human Subjects Contact Signature:

Stephanie V. Davis, MSPH
Stephanie V. Davis, MSPH
NCEH/ATSDR Human Subjects Contact

July 25, 2014
Date: Click here to enter a date.