



## REQUEST FOR NCHHSTP PROJECT DETERMINATION & APPROVAL

### NCHHSTP ADS/ADLS Office on behalf of CDC (New, Continuation, or Amendment)

This form should be used to request NCHHSTP/OD/ADS or ADLS office review and approval on behalf of CDC of a new, continued, or amended project for those projects for which NCHHSTP staff/employees, branches, divisions, and center/OD/ADS or ADLS office are responsible.

Any NCHHSTP activity that meets the definition of a project (see the following section) and represents one of the [four project categories](#) must be approved by the respective NCHHSTP branch and division and by the NCHHSTP/OD/ADS or ADLS office. Approval by the NCHHSTP ADS or ADLS office ([nchstphs@cdc.gov](mailto:nchstphs@cdc.gov)) of these projects indicates approval by CDC. This review and approval process complies with obligations for adherence of projects to federal regulations, state laws, ethics guidelines, CDC policies, and publication requirements.

For research that involves identifiable human subjects in which CDC/NCHHSTP is engaged, use CDC Human Research Protection Office forms and submit them to CDC Human Research Protection Office through the NCHHSTP ADS human subjects email box after approval at the branch and division levels.

## RELEVANT INFORMATION

### What is a project?

A project is defined as a time-limited activity that is funded for a specific period of time, an activity with specified funds for a limited time, or as a limited time responsibility by specific CDC employees or staff, including projects that might be ongoing or continuous for an extended period. A project has defined objectives, tasks (e.g., essential public health services), dedicated resources, and is funded for a specified time. NCHHSTP reviews and approves projects for the [four project categories](#) listed on this form. Every project officer, project team and staff, NCHHSTP branch, and NCHHSTP division or office is responsible for submitting this form for each project and for obtaining NCHHSTP OD/ADS or ADLS approval on behalf of CDC before project initiation, continuation, or amendment. Such programs as surveillance are approved and funded as specific projects for certain periods.

### What is research?

The federal regulations and CDC/OD/ADS office define **research** as a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge. Activities that meet this definition constitute research, regardless if these activities are conducted or supported under a program that is not considered research for other purposes. For example, demonstration and service programs sometimes include research activities.

### What is a human subject?

A **human subject** is 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.

### What is an intervention?

**Intervention** includes both physical procedures by which data are gathered (e.g., venipuncture) 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.

### What is private information?

**Private information** includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is occurring and information that has been provided for specific purposes by an individual and that the individual can reasonably expect will not be made public (e.g., a medical record). Private information identifies individuals (i.e., the identity of the person is or might be readily ascertained by the investigator or associated with the information) for the information to constitute research involving human subjects.

### What does being “engaged” mean?

An institution becomes “**engaged**” in human subjects research when its employees or agents intervene or interact with living individuals for research purposes, or obtains individually identifiable private information for research purposes. An institution is automatically considered to be engaged in human subjects research whenever it receives funding or resources (e.g., a direct award) to support such research. In such cases, the awardee institution has the ultimate responsibility for protecting human subjects under the award.

### What is surveillance?

CDC defines **surveillance** as “the ongoing, systematic collection, analysis, and interpretation of health data essential to the planning, implementation, and evaluation of public health practice, closely integrated with the timely dissemination of these data to those who need to know. The final link of the surveillance chain is the application of these data to prevention and control. A surveillance system includes a functional capacity for data collection, analysis, and dissemination linked to public health programs.”

### What is program evaluation?

**Program evaluation** is the systematic collection of information about the activities, characteristics, and outcomes of programs to make judgments about the program, improve program effectiveness, or inform or guide decisions about future program development. Program evaluation should not be confused with *treatment efficacy*, which measures how well a treatment achieves its goals and that can be considered research.

### Sources (links)

- <http://intranet.cdc.gov/od/oads/osi/hrpo/>
- <http://www.hhs.gov/ohrp/index.html>

## PROJECT REQUEST

### Project Stage

Choose one by selecting a checkbox:

**New:** Fill out entire form, even if a protocol is attached (approval is for work by CDC/NCHHSTP employees).

**Continuation:** For projects expected to continue beyond NCHHSTP approved date; include brief description of changes and attach clean and marked copies of approved determination (approval is for continued work by CDC/NCHHSTP employees).

**Amendment:** Include brief description of changes and attach relevant documentation and a copy of approved project (approval is for continued work by CDC/NCHHSTP employees).

### Project Information:

Project Title:

NCHHSTP Project Number:

Division:

Project Location/Country(ies):

Telephone:

CDC Project Officer or CDC Co-Leads:

Project Dates:

Start

End

Laboratory Branch Submission:

If applicable, select the checkbox:

### Project Categories

Select the corresponding checkbox to choose the category and subcategory.

- I. **Activity is not human subject research.** The primary intent of the project is public health practice or a disease control activity.
- A. Epidemic or endemic disease control activity; collected data directly relate to disease control. If this project is an Epi-AID; provide the Epi-AID number and documentation of the request for assistance, per division policy. Epi-AID no.
  - B. Routine disease surveillance activity; data will be used for disease control program or policy purposes.
  - C. Program evaluation activity; data will be used primarily for that purpose.
  - D. Post-marketing surveillance of effectiveness or adverse effects of a new regimen, drug, vaccine, or device.
  - E. Laboratory proficiency testing.

**II. Activity is not human subjects research.** The primary intent is public health program activities.

**A.** Public health program activity (e.g., service delivery; health education programs; social marketing campaigns; program monitoring; electronic database construction or support; development of patient registries; needs assessments; and demonstration projects to assess organizational needs, management, and human resource requirements for implementation).

**B.** Activity is purely administrative (e.g., purchase orders or contracts for services or equipment).

**III. Activity is research but does NOT involve identifiable human subjects.**

**A.** Activity is research involving collection or analysis of data about health facilities or other organizations or units (i.e., not individual persons.)

**B.** Activity is research involving data or specimens from deceased persons.

**C.** Activity is research using unlinked or anonymous data or specimens: **ALL** (1–4) below are required:

1. No one has contact with human subjects in this project; **and**
2. Data or specimens are or were collected for another purpose; **and**
3. No extra data or specimens are or were collected for **this project**; **and**
4. Identifying information was (one of the following boxes must be checked)
  - a. not obtained;
  - b. removed before this submission, or before CDC receipt, so that data cannot be linked or re-linked with identifiable human subjects; or
  - c. protected through an agreement (i.e., CDC investigators and the holder of the key linking the data to identifiable human subjects enter into an agreement prohibiting the release of the key to the investigators under any circumstances. A copy of the agreement must be attached.)

**IV. Activity is research involving human subjects, but CDC involvement does not constitute “engagement in human subject research.”** Select only one option by checking the box: A indicates the project has current funding; B or C indicates **no** current funding is applicable.

**A.** This project is funded under a grant, cooperative agreement, or contract award mechanism. **ALL** of the following 3 elements are required:

1. CDC staff will not intervene or interact with living individuals for research purposes.
2. CDC staff will not obtain individually identifiable private information.
3. Supported institution(s) must have a Federalwide Assurance (FWA), and the project must be reviewed and approved by a registered IRB or an institutional office linked to the supported institution’s FWA.\*

Supported institution of primary investigator or co-Investigators/entity name:\*

Supported institution/entity FWA Number:\*

FWA expiration date:\*

Expiration date of IRB approval:\*

**\*Attach copy of IRB approval letter(s) supporting project review and approval.**

- B.** CDC staff provide technical support that does not involve possession or analysis of data or interaction with participants from whom data are being collected (no current CDC funding).
  
- C.** CDC staff are involved only in manuscript writing for a project that has closed. For the project, CDC staff did not interact with participants and were not involved with data collection (no current CDC funding).

**Project Description**

**Participating project staff must complete all 18 elements of this section.**

This is a required description from CDC employees or staff for review and approval of a project plan or proposal (or for changes) for projects conducted by CDC or in which CDC is involved. All 18 elements are required to standardize the review and approval process across NCHHSTP, document that all 18 elements have been addressed, expedite review and approval by the NCHHSTP ADS or ADLS office, and minimize CDC/OD/ADS office audit requests for additional information. A protocol may be attached to this form, but it does not eliminate the requirement to complete all 18 elements.

**PROJECT TITLE:**

**Instructions:** Use the following boxes to complete the 18 items. Each box will expand as you type, and you are not limited in the length of your answers. Formatting features and symbols also may be used.

**1. CDC Principal Investigator(s) or Project Directors and branch/division/office affiliations:**

**2. CDC Project Officer(s) and each person’s role and responsibilities and affiliations:**

**3. Other CDC project members, branches, divisions, and other participating institutions, partners, and staff:**

**4. Institution(s) or other entity(ies) funding the project:**

**5. Project goals:**

**6. Project objectives:**

**7. Public health (program or research) needs to be addressed:**

**8. Population(s) or groups to be included:**

**9. Project methods:**

**10. Selection, inclusion, or sampling of participants (persons or entities):**

**11. Incentives to be provided to participants:**

**12. Plans for data collection and analysis:**

**13. Confidentiality protections:**

**14. Other ethics concerns (e.g., incentives, risks, privacy, or security):**

**15. Projected time frame for the project:**



**16. Plans for publication and dissemination of the project findings:**

**17. Appendices — including informed consent documents, scripts, data collection instruments, focus group guides, fact sheets, or brochures:**

**18. References (to indicate need and rationale for project):**

**Project Title:**

12/18/2015

## **PROJECT APPROVAL**

**Choose one of the following options (Division or Center/OD Project)**

### **DIVISION PROJECT**

**NCHHSTP BRANCH AND DIVISION ADS REVIEW AND APPROVAL** (Sign electronically by clicking next to the X and following the prompts)

**X**

Branch Chief or Branch Science Officer

**X**

Division ADS, Acting ADS, or Deputy ADS

### **CENTER/OD PROJECT**

**NCHHSTP OD OFFICE REVIEWS AND APPROVALS** (Sign electronically by clicking next to the X and following the prompts)

**X**

Office Associate Director or Designee

**X**

NCHHSTP ADS or Designee

Project Title:

12/18/2015

## **NCHHSTP ADS/DEPUTY ADS OR ADLS REVIEW AND APPROVAL**

Project Title:

Date received in NCHHSTP ADS or ADLS office:

Date received by NCHHSTP Deputy ADS or ADLS:

**Select the checkbox for each applicable comment for Nos. 1–5 or select the checkbox for No. 6 if all of the comments apply. Additional applicable comments may be added to No. 7. If additional information is required before approval can be granted, select No. 8.**

1. This project is approved by NCHHSTP/CDC and CDC (per CDC policies and federal regulations) for CDC staff participation.
2. Participating partners and sites must obtain project review and approval, according to their institutional policies and procedures and according to local, national, and international regulations and laws, including 45 CFR 46 regulations and state laws. CDC project officers must maintain a current copy of local sites' approvals in project records.
3. CDC investigators and project officers need to adhere to the highest ethics standards of conduct and to respect and protect the privacy, confidentiality, autonomy, data, welfare, and rights of participants and integrity of the project. All applicable country, state, and federal laws and regulations must be followed.
4. Informed consent or script is needed as required by laws and regulations. Information conveyed in an informed consent or script process needs to address all applicable required elements of informed consent. Consent of employees in related projects about their institutions needs to include a statement that their voluntary participation or withdrawal would not affect their employment status or opportunities.
5. OMB Paperwork Reduction Act determination by the NCHHSTP OMB/PRA Coordinator might be needed for this project.
6. **All** previous comments apply.
7. **Other applicable comments:** Type your comment in the box. The space will expand as you type.

8. **More information is required before approval is granted:** Explain what additional information is requested by typing in the box. The space will expand as you type.

Date Information was requested:

Date Information was received:

**Approval must be granted by the National Center for HIV/AIDS, Viral Hepatitis, STD, and TB Prevention Associate Director for Science (ADS), Acting ADS, or Deputy ADS, or for laboratory-associated projects, by the Associate Director for Laboratory Science (ADLS) or Acting ADLS.**

**Project Title:**

X

X

NCHHSTP ADS, Acting ADS, or Deputy ADS

**Or**

NCHHSTP ADLS or Designee