Establishing a Registry for Research

A registry is an organized system that uses observational study methods to collect uniform data (clinical and other) to evaluate specified outcomes for a population defined by a particular disease, condition, or exposure, and that serves a predetermined scientific, clinical, or policy purpose(s). Registries may be based on product surveillance (e.g., drug, device), services, diseases or conditions, or other focus (e.g., women’s health registry). The design, operations, data collected, and plans for use and/or sharing for secondary research, determine which regulations apply and the level of IRB review and oversight required.

Before establishing a registry, investigators are encouraged to review the comprehensive guidance provided in the Reference Section below to consider factors beyond human subject protection, (e.g., infrastructure requirements, financial resources, facilities, custodianship, personnel training, intellectual property, etc.). This document will focus only on issues related to IRB review and human subject protection.

IRB Submission of a Registry Protocol

The collection, storage, and distribution of personal identifying information (18 HIPAA Identifiers) for research purposes is subject to IRB review and human subjects research regulations. The IRB is charged with reviewing protocols for obtaining, storing and sharing information, verifying informed consent, and protecting privacy and confidentiality. To establish a registry, the Principal Investigator (PI) submits a Review IRB application outlining the collection, storage, and sharing of personal identifying information.

Information to Address in the Initial IRB Submission

Since there is extensive variation in how registries operate, the IRB submission should include sufficient information regarding the scientific goals, functions, and operational procedures. The following details are requested, including:

- the purpose of the registry;
- entity funding the registry;
- scope of the data set, patient outcomes, and target population;
- data procurement - whether data will be extracted from a specific source (e.g., electronic medical record) or if data will be obtained through interaction with a participant;
- the personal identifying information to be collected and stored;
• a list of any data extracted from the medical record;
• management and physical storage of data, (medical record information; etc.);
• the immediate and future secondary use (may be unspecified);
• whom research data will be collected from (e.g., minors, adults, healthy subjects, patients);
• diagnosis or conditions of study (e.g., specific disease area or broad unspecified use);
• how personal identifying information will be shared and procedures for coding, de-identification, encryption data-use agreements, etc.;
• role of an honest-broker* in sharing with recipient researchers and who will serve in that role;
• with whom personal identifying information will be shared, (e.g., anyone; internal researchers, external collaborators, academic only, commercial industry);
• data collection – both paper and electronic program/software – and levels of security to protect participant privacy and data confidentiality;
• risk associated with a breach of confidentiality including impact on privacy, insurability, stigmatization etc.;
• the consent process (who obtains, documentation, place, time allotted);
• tracking participant choices where options are provided;
• length of time personal identifying information will be kept (indefinitely, end of research protocol);
• the ability and procedure for locating/contacting participants (re-consent, incidental findings);
• participant withdraw procedures;
• the process of re-consent of research participants who are minors at the time of collection of data but turn 18 while the registry is active.

*An honest broker is a neutral intermediary (person or system) between the individual whose tissue and data are being studied, and the researcher. The honest broker collects and collates pertinent information regarding the tissue source, replaces identifiers with a code, and releases only coded information to the researcher. An honest broker cannot be study personnel on the protocol or co-author on resulting research publications. See the Health & Human Services De-identification instructions for specifics on identifiers and allowable information. The honest broker retains a code which enables him/her to re-identify a donor should the donor choose to later withdraw, or should it be determined that an actionable result or incidental finding should be returned to the participant (see Return of Research Results Guidance).

Registry Informed Consent/Authorization

The informed consent and authorization document describes the intended use and procedures for using and sharing material with others for future research. The purpose may be described as broad and unspecified to allow for a wide range of potential future uses in research. However, even when future use is unspecified, the consent document and process should clearly describe key registry concepts such as, unlimited medical record access, incidental findings and obligations to return research results, procedure to withdraw material, large-scale data sharing, etc. so that participants understand the implications of participating.
Sample Repository/Registry/Bank Consent Template

The Sample Repository/Registry/Bank Consent document provides points to consider and template consent language describing risks, protections, and details regarding the collection, storage, and sharing of specimens and/or information. Because there is extensive variation in the design and operation of research repositories, a “one size fits all” template is not feasible. The template includes sample language for many different bank/registry operations. Include applicable language and delete other text.

Secondary Researchers Use Agreement

The registry may require recipient researchers to sign or agree to a Use Agreement. The agreement may specify that the recipient researcher will not attempt re-identification of data and that secondary research conducted will be consistent with the terms of the original registry informed consent. The agreement may also specify that registry personnel will serve as honest brokers and as such will not be involved in the conduct or reporting of the secondary research conducted by the recipient researcher. Ultimately, secondary research conducted by recipient researchers should be congruent with the uses described in the Registry Protocol, Informed Consent Form, and Use Agreement.

Is Additional IRB Review Needed for Secondary Research?

Yes, or possibly yes, unless the secondary researcher has obtained an official Not Human Subject Research (NHR) determination from the IRB. In making the NHR determination, the IRB considers whether the information was properly de-identified according to HIPAA standards prior to receipt by secondary researcher; the recipient researcher has no knowledge of or way to readily identify participants providing the information, and the registry personnel will not be involved in the conduct or reporting of the secondary research.

In addition, the proposed secondary use must be consistent with the use described in the original consent used to obtain the participant’s information. The UK Informed Consent Templates include language to inform participants that it is possible that their information will be de-identified and shared with other researchers for future research, without the participant’s additional informed consent.

CAUTION: AVOID SELF-IMPOSED LIMITS IN THE INFORMED CONSENT.

While you must implement IRB required limitations, be cautious in adding self-imposed limits that diminish the utility of the repository, without enhancing human subject protection.

- If you choose to place limits on use, retention, or sharing and you communicate the limits in the informed consent, you must honor them. For instance, do not state in the consent that all information in the registry will be destroyed on a given timeline, if the intent is to retain and use indefinitely.

- If you provide the participant with options within the consent, you must operate according to the participant’s chosen wishes. For instance, if you allow the participant to choose whether the information provided to the registry will be used for research on a single disease, or used for any type of health-related research, you must store, track, use, and share accordingly.
The National Institutes of Health (NIH) provides a Decision Chart to aid researchers in determining whether secondary research with private information or specimens meets the criteria of human subject research.

**Research Involving Private Information or Biological Specimens**

- Are the specimens/data obtained from living individuals?
  - NO, individuals are NOT living
    - NOT Human Subjects Research
  - YES, individuals ARE living
    - Are the specimens/data:
      - Human cell lines obtained from a commercial provider (e.g. ATCC); or
      - Human cells about which all information has been published; or
      - Unidentifiable specimens/data obtained from a commercial provider; or
      - Unidentifiable specimens/data obtained from an provider that is prohibited from releasing identifiers by established regulations or policies
    - NO
      - NOT Human Subjects Research
    - YES
      - Were/will the specimens/data (be) collected specifically for the proposed research through an interaction or intervention with living individuals?
        - NO
          - NOT Human Subjects Research
        - YES
          - Can the recipient link the specimens/data directly to identifiable living individuals?
            - NO
              - NOT Human Subjects Research
            - YES
              - Can the provider link the specimens/data, directly or indirectly, to identifiable living individuals?
                - NO
                  - NOT Human Subjects Research
                - YES
                  - Does the provider meet the definition of an “investigator” in the recipient’s research?
                    - NO, provider is “solely providing”
                      - NOT Human Subjects Research
                    - YES, provider is collaborating in recipient’s research
                      - Are the specimens/data provided with a code linking them to identifiable living individuals?
                        - NO
                          - NOT Human Subjects Research
                        - YES
                          - Can the recipient readily ascertain the identities of the individuals to whom the specimens/data pertain? Examples of situations in which the recipient cannot link the specimens/data to living individuals include:
                            - the key to decipher the code is destroyed before the research begins; or
                            - the investigators and the holder of the key to the code enter into an agreement preventing the release of the key to investigators under any circumstances; or
                            - there are IRB-approved written policies in place preventing the release of the key under any circumstances; or
                            - there are other legal requirements prohibiting the release of the key under any circumstances.
        - NO
          - NOT Human Subjects Research
        - YES
          - Human Subjects Research
Not Human Subjects Research (NHR) Determination: IRB Review Not Required

To obtain an official IRB determination that secondary research does not require IRB review, the recipient researcher submits a description and/or the IRB NHR Determination Form [PDF] to the IRB at IRBSubmission@uky.edu for a determination of whether an activity qualifies as NHR.

Human Subjects Research: IRB Review Required

IRB review would be required if the recipient researcher (and personnel involved with the secondary research):

- wants to conduct research that goes beyond what is described in the Registry Informed Consent;
- wants to use personal identifying information in a manner that goes beyond the Registry Use Agreement;
- needs participant identifiers to track outcomes in the medical record;
- can ascertain the identity of the donor through direct knowledge or associated information;
- has knowledge of the participant’s surgical procedure schedule in order to obtain personal identifying information.

IRB review and approval would also be required if registry personnel wish to collaborate with the recipient researcher on the conduct, analysis, or reporting of the research.

Secondary Research and Informed Consent:

For secondary research requiring IRB review, the IRB would consider the need for additional research-specific consent and authorization. Informed consent may not be required if the IRB determines the recipient researcher’s proposed use is consistent with the use described in the informed consent.

If use is not consistent, additional consent may be required, or the researcher may submit a request to their IRB to alter or waive the requirement for additional consent. Specific criteria must be met for the IRB to consider approving a waiver. The IRB would likely not approve a waiver in cases where the recipient researcher has an opportunity to obtain informed consent from registry participants who have agreed to future contact.

Also, other regulatory statutes prohibit the IRB from waiving informed consent, even if data is de-identified, (e.g., Department of Defense Classified Research, NIH Funded Genomic Data Sharing).
REFERENCES:


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