

Date:
CPHS#:

**OPHS WORKSHEET - 45 CFR 164.512 (i)
WAIVER OR ALTERATION OF HIPAA AUTHORIZATION**

For research uses and disclosures of UC Berkeley Protected Health Information (PHI), the CPHS is responsible for deciding whether or not to approve a Health Insurance Portability and Accountability Act (HIPAA) waiver or an alteration of the Authorization requirement in whole or in part under 45 CFR 164.512(i). A HIPAA authorization is required unless the CPHS determines that the research satisfies the conditions described below (check the applicable boxes below):

1) A covered entity may use or disclose protected health information for research, regardless of the source of funding of the research, provided that one of the following criteria is met:

a) *IRB approval of a Waiver of Authorization.* The covered entity obtains [documentation](#) that an alteration to or waiver, in whole or in part¹, of the individual authorization required by 45 CFR 164.508 for use or disclosure of protected health information has been approved by either:

i) An Institutional Review Board (IRB), or

ii) A Privacy Board that:

(1) Has members with varying backgrounds and appropriate professional competency as necessary to review the effect of the research protocol on the individual's privacy rights and related interests;

(2) Includes at least one member who is not affiliated with the covered entity, not affiliated with any entity conducting or sponsoring the research, and not related to any person who is affiliated with any of such entities; and

(3) Does not have any member participating in a review of any project in which the member has a conflict of interest.

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- ¹ A complete Waiver is when the CPHS determines that no Authorization is required for use or disclosure of PHI for a particular research project.
 - A partial Waiver of Authorization occurs when the CPHS determines that a covered entity does not need Authorization for certain PHI uses and disclosures for research purposes, such as disclosing PHI for research recruitment purposes.
 - An Alteration of Authorization occurs when CPHS is asked to waive one or more required elements of informed consent. For example, if the purpose of the study will not be disclosed to participants in order to avoid bias, this is an alteration because disclosure of the "purpose" is a required element of participant authorization.

- b) *Reviews preparatory to research.* The covered entity obtains from the researcher representations that:
- i) Use or disclosure is sought solely to review protected health information as necessary to prepare a research protocol or for similar purposes preparatory to research;
 - ii) No protected health information is to be removed from the covered entity by the researcher in the course of the review; and
 - iii) The protected health information for which use or access is sought is necessary for the research purposes.
- c) *Research on decedent's information.* The covered entity obtains from the researcher:
- i) Representation that the use or disclosure sought is solely for research on the protected health information of decedents;
 - ii) Documentation, at the request of the covered entity, of the death of such individuals; and
 - iii) Representation that the protected health information for which use or disclosure is sought is necessary for the research purposes.
- 2) *Documentation of waiver approval.* For a use or disclosure to be permitted based on documentation of approval of an alteration or waiver, the documentation must include all of the following:
- a) A statement identifying the IRB or privacy board and the date on which the alteration or waiver of authorization was approved;
 - b) A statement that the IRB or privacy board has determined that the alteration or waiver, in whole or in part, of authorization satisfies the following criteria:
 - i) The use or disclosure of protected health information involves no more than a minimal risk to the privacy of individuals, based on, at least, the presence of the following elements;
 - (1) An adequate plan to protect the identifiers from improper use and disclosure;
 - (2) An adequate plan to destroy the identifiers at the earliest opportunity consistent with conduct of the research, unless there is a health or research justification for retaining the identifiers or such retention is otherwise required by law; and
 - (3) Adequate written assurances that the protected health information will not be reused or disclosed to any other person or entity, except as required by law, for authorized oversight of the research study, or for other research for which the use or disclosure of protected health information would be permitted by this subpart;
 - ii) The research could not practicably be conducted without the waiver or alteration; and
 - iii) The research could not practicably be conducted without access to and use of the protected health information.
 - c) A brief description of the protected health information for which use or access has been determined to be necessary by the institutional review board or privacy board;

- d) A statement that the alteration or waiver of authorization has been reviewed and approved under either full board or expedited review procedures, as follows:
 - i) An IRB must follow the requirements of the Common Rule;
 - ii) A privacy board must review the proposed research at convened meetings at which a majority of the privacy board members are present, including at least one member who satisfies the criterion stated in paragraph (1)(a)(ii)(2) above, and the alteration or waiver of authorization must be approved by the majority of the privacy board members present at the meeting, unless the privacy board elects to use an expedited review procedure;
 - iii) A privacy board may use an expedited review procedure if the research involves no more than minimal risk to the privacy of the individuals who are the subject of the protected health information for which use or disclosure is being sought. If the privacy board elects to use an expedited review procedure, the review and approval of the alteration or waiver of authorization may be carried out by the chair of the privacy board, or by one or more members of the privacy board as designated by the chair; and
- e) The documentation of the alteration or waiver of authorization must be signed by the chair or other member, as designated by the chair, of the IRB or the privacy board, as applicable.