

GLOSSARY

Terms And Acronyms Used In The Aurora IRB SOPs And Forms

1572	Form required by the FDA for studies involving investigational new drugs or use of an approved drug for which it was not indicated.
510(K) DEVICE	A medical device that is considered substantially equivalent to a device that was or is being legally marketed. A Sponsor planning to market such a device must submit notification to the FDA 90 days in advance of placing the device on the market. If the FDA concurs with the Sponsor, the device may then be marketed. 510(k) is the section of the Food, Drug and Cosmetic Act that describes pre-market notification; hence the designation “510(k) device.” See: <i>Association for the Accreditation of Human Research Protection Programs</i>
AAHRPP	
ACCEPTED (FACILITATED REVIEW)	The status of a study for which the Aurora IRB agrees the NCI CIRB as the IRB of record after a facilitated review has been conducted by the IRB chair.
ACT	The Food, Drug and Cosmetic Act found at Title 21, section 301 <i>et seq.</i> of the United States Code.
ACKNOWLEDGED	Items (e.g. DSMB reports, Investigator Brochures, sponsor annual reports, sponsor letters) that do not alter the conduct of a research study that are reviewed by the Aurora IRB, but not “approved”.
ACTIVE	The status of a research study that has been initially approved and is subject to continuing review by the Aurora IRB, irrespective of whether it is accruing subjects or closed to enrollment.
ADMINISTRATIVE HOLD	See also: <i>Open</i> A situation where an investigator voluntarily stops research activities notifying the IRB of such in writing.
ADVERSE EVENT (AE)	An undesirable and unintended, although not necessarily unexpected, result of therapy or other intervention (<i>e.g.</i> , headache following spinal tap or intestinal bleeding associated with aspirin therapy). See: <i>Adverse Event</i>
AE ADVERSE SUBJECT EVENT	Any untoward or unfavorable medical occurrence in a human subject, including any abnormal sign (for example, abnormal physical exam or laboratory finding), symptom, or disease, temporally associated with the subject’s participation in the research, whether or not considered related to the subject’s

participation in the research. Adverse Subject Events encompass both physical and psychological harms. In the context of multi-center clinical trials, “Local Adverse Subject Events” are Adverse Subject Events experienced by subjects enrolled in research at sites for which the Aurora IRB is the IRB with direct oversight, and “External Adverse Subject Events” are Adverse Subject Events experienced by subjects enrolled in research at other sites not subject to oversight by the Aurora IRB.

AFFILIATED (SOP 502)

Any individual who is an employee, a member of medical staff or an allied health professional on the medical staff, of an Aurora Facility. This term includes any individual conducting research who is an employee, a member of the medical staff or an allied health professional on the medical staff of a hospital, clinic, physician group or other entity that has entered an affiliation agreement with the Aurora Facility.

AFFILIATED MEMBER

A member of the IRB who meets the definition as stated above.

ALTERNATE

An individual appointed by the IRB to serve in place of the primary IRB member. The alternate member’s qualifications should be comparable to the primary member to be replaced. Alternate IRB members have the same authority and responsibilities as the primary IRB members. If the primary and alternate members attend the same meeting only one individual may vote.

ANONYMITY

The condition that exists when there are no identifiers on research materials that could link or identify the data to an individual subject even to the research investigators.

APPROVAL (SOP 402)

The status of a study that has undergone IRB review and meets the necessary standards and requirements for human subject research.

ASSENT

Agreement by an individual not competent to give legally valid informed consent (*e.g.*, a child or cognitively impaired person) to participate in research.

ASSOCIATION FOR THE ACCREDITATION OF HUMAN RESEARCH PROTECTION PROGRAMS (AAHRPP) ASSURANCE

An IRB accrediting agency.

A formal written, binding commitment that is submitted to a federal agency in which an institution

promises to comply with applicable regulations governing research with human subjects and stipulates the procedures through which compliance will be achieved. [See *Federal Wide Assurance; FWA*]

AUDIT

A systematic and independent examination of trial related activities and documents to determine whether the evaluated trial related activities were conducted and the data were recorded, analyzed, and accurately reported according to the sponsor's protocol, SOPs, GCPs and applicable regulatory requirements. [*ICH GCP*]

**AURORA
AUTHORIZATION**

Aurora Health Care, Inc.
An individual's signed permission to allow a covered entity to use or disclose the individual's protected health information (PHI) that is described in the Authorization for the purpose(s) and to the recipient(s) stated in the Authorization. In contrast, an informed consent document is an individual's agreement to participate in the research study and includes a description of the study, anticipated risks and/or benefits, and how the confidentiality of records will be protected, among other things.
Personal capacity to consider alternatives, make choices, and act without undue influence or interference of others.

AUTONOMY

BELMONT REPORT

A statement of basic ethical principles governing research involving human subjects issued by the National Commission for the Protection of Human Subjects in 1978.

BENEFICENCE

An ethical principle discussed in the Belmont Report that entails an obligation to protect persons from harm. The principle of beneficence can be expressed in two general rules: (1) do not harm; and (2) protect from harm by maximizing possible benefits and minimizing possible risks of harm.

**BENEFIT
BIOLOGIC**

A valued or desired outcome; an advantage.
Any therapeutic serum, toxin, anti-toxin, or analogous microbial product applicable to the prevention, treatment, or cure of diseases or injuries.

**BLINDED-STUDY
DESIGN**

A comparison of two or more interventions in which either the Investigators, the subjects, or some combination thereof do not know the treatment group assignments of individual subjects.

BUSINESS ASSOCIATE

A term under HIPAA referring to a person to whom a covered entity discloses protected health information (PHI) so that they can perform some service for the covered entity.

BUSINESS ASSOCIATE AGREEMENT CASE REPORT FORM (CRF)

An agreement made between a covered entity and a business associate (or other covered entity).
A printed, optical, or electronic document designed to record all of the clinical protocol required information to be reported to the sponsor on each clinical trial subject.

CENTRAL IRB

For multicenter studies, the central IRB is the IRB that conducts review on behalf of all study sites that agree to participate in the centralized review process. (i.e.; NCI CIRB)

CFR

See: *Code of Federal Regulations*

CHAIR/CHAIRPERSON

The person who presides at the meetings of an Aurora IRB.

CHIEF PRIVACY OFFICER

The individual responsible for the implementation and development of the covered entity's privacy policies and procedures under HIPAA.

CHILDREN

Persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law of the jurisdiction in which the research will be conducted.

In Wisconsin, "children" are generally those persons under the age of 18 years. [per SOP 501]

CITI

See: *Collaborative IRB Training Initiative*

COLLABORATIVE IRB TRAINING INITIATIVE (CITI)

A web-based human subjects research educational program consists of courses for Biomedical and Social / Behavioral investigators, IRB members and staff.

Biennial CITI training is required of all physicians seeking clinical privileges to conduct human subjects research at any Aurora Health Care Metro, Inc. hospital.

CLASS I, II, III DEVICES

Classification by the Food and Drug Administration of medical devices according to potential risks or hazards.

CLINICAL TRIAL

A controlled study involving human subjects, designed to evaluate prospectively the safety and effectiveness of new drugs or devices or of behavioral interventions.

CLOSED

The status of a research study with the Aurora IRB. The study has been approved by the IRB, and the approval letter issued, however the study is no longer active, i.e. 1) subject enrollment is completed; 2) subjects are not being followed for purposes of the research study; and 3) no identifiable subject information is being collected/accessed for purposes of the study. The investigator must submit a

**CODE OF FEDERAL
REGULATIONS (CFR)
COI
COMMON RULE**

completed Final Report to the IRB office.
The federal compendium of regulations on numerous topics related to compliance with federal laws.

See: *Conflict of Interest*

The regulations for the protection of human subjects found at Title 45, Part 46 Subpart A of the Code of Federal Regulations adopted by the following federal agencies: Department of Agriculture; Department of Energy; National Aeronautics and Space Administration; Department of Commerce; Consumer Product Safety Commission; International Development Cooperation Agency; Agency for International Development; Department of Health and Human Services; Department of Housing and Urban Development; Department of Justice; Department of Defense; Department of Education; Department of Veterans Affairs; Environmental Protection Agency; National Science Foundation; Department of Transportation; and Central Intelligence Agency.

COMPENSATION

Payment or medical care provided to subjects injured in research; does not refer to payment (remuneration) for participation in research. (Compare with: *Remuneration*.)

COMPETENCE

Technically, a legal term, used to denote that a person has not been judged by a court to be incompetent. (See also: *Incompetent, Incapacity*.)

**COMPLAINANT [SOP
601]**

A party that makes an allegation, complaint or files a formal charge of research misconduct or non-compliance.

COMPLETED

The status of a research study that has been closed and, therefore, it is no longer Active or subject to continuing review. A Research Study may be closed only after all requisite follow-up care has been provided to Subjects with respect to the research study. Access to or collection of identifiable subject information has also been completed.

COMPLETION FEES

Money or other non-monetary reward given by a sponsor (or by a physician or other entity) to a physician or physician group in payment for each subject's successful completion of a research study or protocol. Completion fees include bonus or milestone payments for a particular number of patients successfully completing the research study or for successfully completing it within a specified time frame.

See also: *Finder's Fees*

CONDITION(S) OF APPROVAL

The IRB expressly prohibits the offer or acceptance of finder's fees and completion fees.

These are minor changes/clarifications requested at the time of review that must be addressed prior to issuance of the approval letter.

CONFIDENTIALITY

Pertains to privacy and non-disclosure of personal information that an individual has disclosed in a relationship of trust and with the expectation that it will not be divulged to others without permission in ways that are inconsistent with the understanding of the original disclosure. [see **University of Penn sub form for examples**]

CONFLICT OF INTEREST (COI)

A situation in which the financial or non-financial interests of Aurora, or of an Aurora Official or other Covered Party acting within his or her authority on behalf of Aurora Health Care, might affect, or reasonably appear to affect, institutional processes for the conduct, review or oversight of human subjects research; or a situation in which financial or non-financial considerations may compromise, or have the appearance of compromising, an investigator's professional judgment in conducting or reporting research.

**CONSENT
CONSENT ADDENDUM**

See: Informed Consent.

A document that supplements or provides additional information to the primary informed consent for a research study.

CONTINUING REVIEW

A process by which an investigator submits a report at IRB-defined intervals on the study's progress and findings to date. It is a monitoring mechanism that assures the continuing safeguards are in place to protect the rights and welfare of human subjects participating in research.

CONTRACT

An agreement; as used here, an agreement that a specific research activity will be performed at the request, and under the direction of, the agency providing the funds. Research performed under contract is more closely controlled by the agency than research performed under a grant. (Compare: *Grant.*)

CONTRACT RESEARCH ORGANIZATION (CRO)

An organization (commercial, academic or other) contracted by the sponsor (e.g., pharmaceutical company) to conduct a clinical trial. A CRO may be contracted to perform any or all of the activities associated with clinical research from protocol design to medical writing and analysis.

CONTRAINDICATED

Pertains to the use of a treatment that should not be used in certain individuals or conditions due to risks of disadvantageous, perhaps dangerous results (*e.g.*, a drug may be contraindicated for pregnant women and persons with high blood pressure).

CONTROL [SUBJECTS] OR CONTROLS

Subject(s) used for comparison who are not given a treatment under study or who do not have a given condition, background, or risk factor that is the object of study. Control conditions may be concurrent (occurring more or less simultaneously with the condition under study) or historical (preceding the condition under study). When the present condition of subjects is compared with their own condition on a prior regimen or treatment, the study is considered historically controlled.

COVERED ENTITY

A term arising under HIPAA referring to any entity that is a health plan, a health care clearinghouse, or a health care provider that electronically transmits or maintains protected health information (PHI).

COVERED PARTY [SOP 104A]

An investigator, research staff that are designated by the investigator to conduct research activities, RSPP staff member, IRB member or administrator or Aurora Official who is compensated or otherwise supported by Aurora for his/her services or who appears to act as an agent of Aurora in using, controlling or assigning to others the use of Aurora facilities and resources in the conduct of research.

CRF

See: *Case Report Form*

CRO

See: *Contract Research Organization*

CUSTOM DEVICE

A medical device that: (1) necessarily deviates from devices generally available or from an applicable performance standard or pre-market approval requirement in order to comply with the order of an individual physician or dentist; (2) is not generally available to, or generally used by, other physicians or dentists; (3) is not offered for commercial distribution through labeling or advertising; and (4) is intended for use by an individual patient named in the order of a physician or dentist and is to be made in a specific form for that patient or is intended to meet the special needs of the physician or dentist in the course of professional practice.

DATA AND SAFETY MONITORING BOARD (DSMB)

A committee of scientists, physicians, statisticians, and others that collects and analyzes data during the course of a clinical trial to monitor for adverse effects and other trends (such as an indication that one treatment is significantly better than another,

particularly when one arm of the trial involves a placebo control) that would warrant modification or termination of the trial or notification of subjects about new information that might affect their willingness to continue in the trial. (See also: *IDMC; Independent Data Monitoring Committee.*)

DATA USE AGREEMENT

Written agreement between a covered entity or health care component and a researcher requesting a disclosure of protected health information (PHI) contained in a limited data set. Data use agreements must meet the requirements of Creating and Disclosing a Limited Data Set.

DEAD FETUS

An expelled or delivered fetus that exhibits no heartbeat, spontaneous respiratory activity, spontaneous movement of voluntary muscles, or pulsation of the umbilical cord (if still attached). Generally, some organs, tissues, and cells (referred to collectively as fetal tissue) remain alive for varying periods of time after the total organism is dead.

DECISIONALLY INCAPACITATED ADULTS (SOP 702)

- (1) The individual is Incompetent
- ; (2) one independent medical doctor (other than the PI), has determined and documented that the individual lacks the capacity to consent to health care decisions and/or participation in research studies on his or her own behalf
- ; OR (3) It is evident that a prospective adult subject is temporarily unable to make decisions due to his or her condition, and therefore a determination of decisional incapacity may be made by the individual's attending physician or the PI and determination by an independent physician: will not be required. Such situations may include an adult prospective subject who is under general anesthesia, or individuals in an emergent medical situation requiring immediate treatment (e.g. individuals experiencing an acute myocardial infarction).

DECLARATION OF HELSINKI

A code of ethics for clinical research approved by the World Medical Association in 1964 and widely adopted by medical associations in various countries. It has been revised several times, most recently in October, 2000.

DE-IDENTIFIED (PER

Protected Health Information that does not contain

HIPAA)

any of the following identifiers*:

- Names
- Geographic info (including city and ZIP)
- Elements of dates (except year), ages over 89 years
- Telephone #s
- Fax #s
- E-mail address
- Social Security #
- Medical record, prescription #s
- Health plan beneficiary #s Account #s
- Certificate/license #s
- VIN and Serial #s, license plate #s
- Device identifiers, serial #s
- Web URLs
- IP address #s
- Biometric identifiers (finger prints)
- Full face, comparable photo images
- Unique identifying #s

DEFERRED

*See 45 CFR 164.514(b)(2)(i) for a complete list.

Indicates the status of a study when the review process cannot proceed because of questions, concerns or other issues that cannot be addressed at the time of the convened IRB meeting. The study is brought back to committee for completion of the review process. [May also be referred to as “Tabled”.]

DEPARTMENT OF HEALTH SERVICES (DHS)

Wisconsin department administering a wide range of health services.

DESCRIPTIVE STUDY

Any study that is not truly experimental (*e.g.*, record reviews, case histories, and observational studies).

DEVICE (MEDICAL) (DHS)

See: *Medical Device*.

DHHS

See: *Department of Health Services*

DIAGNOSTIC [PROCEDURE]

See: *US Department of Health and Human Services*.
Tests used to identify a disorder or disease in a living person.

DISAPPROVAL

The status of a study that has undergone IRB review and does not meet the necessary standards and requirements for human subject research.

DISCLOSURE [HIPPA]

The act of disclosing, uncovering, or revealing Protected Health Information.

DOCUMENTATION OF INFORMED CONSENT

Explanation of the study's purpose, duration, experimental procedures, alternatives, risks, and benefits.

DRUG

Any chemical compound that may be used on or administered to humans as an aid in the diagnosis, treatment, cure, mitigation, or prevention of disease

DSMB	or other abnormal conditions.
EMANCIPATED MINOR	See: <i>Data Safety Monitoring Board</i> In Wisconsin, emancipated minors are not subject to Subpart D of 45 CFR 46 and are consented as adults. Emancipated minors include individuals under 18 years of age who are or have been married, who have given birth or who have been freed from the care, custody and control of their parents with little likelihood of returning to the care, custody and control prior to marriage or prior to reaching the age of majority. [Wis. Stat. 48.375(2)(e), 765.02(2), 880.04(1), 895.037(1)(c)]- 54.46(6)]. [Per SOP 501]
EMBRYO	Early stages of a developing organism, broadly used to refer to stages immediately following fertilization of an egg through implantation and very early pregnancy (<i>i.e.</i> , from conception to the eighth week of pregnancy). (<i>See also: Fetus.</i>)
EMERGENCY RESEARCH	A planned research study that is subject to advance IRB approval and FDA authorization and involves waived informed consent.
EMERGENCY USE	Use of a test article on a human subject in a life-threatening situation in which no standard acceptable treatment is available and in which there is not sufficient time to obtain IRB approval.
ENROLLED	A subject who has agreed to participate in a research study.
EQUITABLE	Fair or just; used in the context of selection of subjects to indicate that the benefits and burdens of research are fairly distributed.
ETHICS ADVISORY BOARD	An interdisciplinary group that advises the Secretary, HHS, on general policy matters and on research proposals (or classes of proposals) that pose ethical problems.
EXCULPATORY	Pertaining to that which relieves of a responsibility, obligation, or hardship; clearing from accusation or blame.
EXEMPT RESEARCH	Research activities in which the only involvement of human subjects will be in one or more of the categories listed in federal regulation 45 CFR 46.101 (b). The determination of exemption from IRB oversight must be based on regulatory and institutional criteria, be appropriately documented, and may only be conducted by the IRB chair or his/her designee.
EX-OFFICIO MEMBER	<i>See Nonvoting Member</i>
EXPANDED ACCESS MECAHNISMS	Policy and procedure that permits individuals who have serious or life-threatening diseases for which

there are no alternative therapies to have access to investigational drugs and devices that may be beneficial to them. Examples of expanded availability mechanisms include Treatment INDs, Parallel Track, and open study protocols.

EXPECTED (AE)

An adverse event (AE) in which risk(s) as stated in the protocol and/or investigator brochure occur with expected severity and frequency.

EXPEDITED REVIEW

Review of proposed research by the IRB Chairperson or a designated voting member or group of voting members rather than by the entire IRB. Federal rules permit expedited review for certain kinds of research involving no more than minimal risk and for minor changes in approved research.

EXPERIMENTAL STUDY

A true experimental study is one in which subjects are randomly assigned to groups that experience carefully controlled interventions manipulated by the experimenter according to a strict logic allowing causal inference about the effects of the interventions under investigation.

EXPERIMENTAL

Term often used to denote a therapy (drug, device, procedure) that is unproven or not yet scientifically validated with respect to safety and efficacy. A procedure may be considered “experimental” without necessarily being part of a formal study (research) to evaluate its usefulness. (*See also: Research.*)

EXTERNAL [AE]

An adverse event that occurs at site for which the Aurora IRB is not the IRB of record. (*See Adverse Subject Event.*)

FACILITY OR FACILITIES FACILITATED REVIEW

Aurora affiliated entity that has entered into an IRB Authorization Agreement with the RSPP.

The CIRB conducts full board review and generates a review packet including the minutes of the CIRB meeting, the Board’s final comments on the protocol and an IRB application form for the protocol. The Aurora IRB chair utilizes the protocol application and review packet to conduct a subsequent brief review to address local issues related to conducting the clinical trial at the individual institution. If the IRB chair has no institutional concerns and accepts the CIRB review, the CIRB becomes the IRB of record and the CIRB assumes responsibility for amendments, adverse events (AEs) (with the exception of AEs occurring at the local site which are reported to the local IRB to keep them alerted to local safety issues) and continuing reviews for the life of the protocol.

FACILITATOR [SOP]

Aurora Health Care employees or physicians on the

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medical staff of any Aurora hospital who will direct the investigator (who does not meet the definition of “Affiliated with Aurora”) to the appropriate managers or administrators to seek administrative approval, contractual agreements, to the appropriate Aurora IRB policies related to research conduct, and to other system-wide policies applicable to research; (if applicable) for the study.

FDA

See: *Food and Drug Administration*

FEASIBILITY

The extent to which a study or project may be done practically and successfully.

FEDERAL AGENCY

All agencies besides DHHS that have adopted the regulations for the protection of human subjects found at Title 45, Part 46 Subpart A of the Code of Federal Regulations which include: Department of Agriculture; Department of Energy; National Aeronautics and Space Administration; Department of Commerce; Consumer Product Safety Commission; International Development Cooperation Agency; Agency for International Development; Department of Housing and Urban Development; Department of Justice; Department of Defense; Department of Education; Department of Veterans Affairs; Environmental Protection Agency; National Science Foundation; Department of Transportation; and Central Intelligence Agency.

FEDERAL POLICY

[THE]

The federal policy that provides regulations for the involvement of human subjects in research. The policy applies to all research involving human subjects conducted, supported, or otherwise subject to regulation by any federal department or agency that takes appropriate administrative action to make the policy applicable to such research. Currently, sixteen federal agencies have adopted the Federal Policy. (Also known as the “Common Rule.”)

FEDERAL WIDE

ASSURANCE (FWA)

An institution guarantees it will comply with the federal regulations for the protection of human subjects in research, also known as the “Common Rule.”

FETAL MATERIAL

The placenta, amniotic fluid, fetal membranes, and umbilical cord.

FETUS

The product of conception from the time of implantation until delivery. If the delivered or expelled fetus is viable, it is designated an infant. The term “fetus” generally refers to later phases of development; the term “embryo” is usually used for earlier phases of development. (See also: *Embryo.*)

FINDER'S FEE

Money or other non-monetary reward given by a sponsor (or by a physician or other entity) to a physician or physician group in payment for identifying or recruiting a potential research subject into a research study. Finder's Fees include bonus or milestone payments for successfully enrolling a particular number of subjects or for successfully meeting a deadline in recruiting subjects.

See also: *Completion Fees*

FISCAL INTERMEDIARY

The IRB expressly prohibits the offer or acceptance of finder's fees and completion fees.

An entity that contracts with CMS to administer Medicare Part A (hospital services) within a specific geographic area such as a state. The administration of Part A by a fiscal intermediary includes provider relations, beneficiary services, claims processing, payment, medical policy development, and program integrity.

FOOD AND DRUG ADMINISTRATION (FDA) FORM 483

An agency of the federal government established by Congress in 1912 and presently part of the Department of Health and Human Services.

An FDA form entitled "Notice of Inspectional Observations" issued by the FDA field investigator after an on-site audit. It lists the deficiencies based on the auditor's interpretation of the regulations.

FINAL REPORT

Report submitted to the IRB by the investigator upon termination (by the investigator/sponsor) or completion of a research study.

FULL IRB REVIEW

Review of proposed research at a convened meeting at which a majority of the membership of the IRB are present, including at least one member whose primary concerns are in nonscientific areas. For the research to be approved, it must receive the approval of a majority of those members present at the meeting.

FWA

See *Federal Wide Assurance*.

GCP

See: *Good Clinical Practice*

GENERALIZABLE KNOWLEDGE

Knowledge that could be applied to populations outside of the population served by Aurora. This definition can vary. Examples of activities that typically are not generalizable include:

- Biographies
- Oral histories that are designed solely to create a record of specific historical events
- Service or course evaluations, unless they can

be generalized to other individuals

- Services, or concepts where it is not the intention to share the results beyond Aurora or any agency supporting the research
- Classroom exercises solely to fulfill course requirements or to train students in the use of particular methods or devices
- Quality assurance activities designed to continuously improve the quality or performance of a department or program where it is not the primary intention to share the results beyond the Aurora community

GENE THERAPY

The treatment of genetic disease accomplished by altering the genetic structure of either somatic (nonreproductive) or germline (reproductive) cells.

GENETIC RESEARCH

Any research involving the study of the genetic mechanisms of human disease and health.

GENETIC SCREENING

Tests to identify persons who have an inherited predisposition to a certain phenotype or who are at risk of producing offspring with inherited diseases or disorders.

GENOTYPE

The genetic constitution of an individual.

GOOD CLINICAL PRACTICE (GCP)

A set of rules and regulations that is provided by International Conference on Harmonization - an international body that regulates clinical trials involving human subjects.

Good clinical practice guidelines include protection of human rights as a subject in clinical trial. It also provides assurance of the safety and efficacy of the newly developed compounds.

Good clinical Practice Guidelines includes regulations on how clinical trials should be conducted, define the roles and responsibilities of clinical trial sponsors, clinical research investigators, and clinical research associates.

GRANT

Financial support provided for research study designed and proposed by the Principal Investigator(s). The granting agency exercises no direct control over the conduct of approved research supported by a grant. (Compare: *Contract*.)

GUARDIAN

An individual who is authorized under applicable law to consent on behalf of a child or an adult to general medical care. The specific scope of a guardian's authority is governed by the court documents establishing the guardianship.

**HDE
HEALTH CARE AGENT
(SOP 702)**

See: *Humanitarian Device Exemption.*
See: *Power of Attorney for Health Care*

**HEALTH INSURANCE
PORTABILITY AND
ACCOUNTABILITY
ACT (HIPAA)**

The Health Insurance Portability and Accountability Act of 1996 and its implementing regulations, which govern privacy, security and code and transaction sets.

**HHS
HIPAA**

See: *DHHS.*
See: *Health Insurance Portability and Accountability Act*

**HISTORICAL
CONTROLS**

Control subjects (followed at some time in the past or for whom data are available through records) who are used for comparison with subjects being treated concurrently. The study is considered historically controlled when the present condition of subjects is compared with their own condition on a prior regimen or treatment.

HONEST BROKER

An individual who will collect and provide de-identified PHI to research investigators in such manner whereby it would not be reasonably feasible for the investigators or others to identify the patients/participants directly or indirectly.

**HUD
HUMAN PROTECTIONS
ADMINISTRATOR**

See: *Humanitarian Use Device*
The Human Protections Administrator is an employee or agent of the FWA institution who exercises operational responsibility, on a day-to-day basis, for the institution's program for protecting human research participants.

**HUMAN GENE
TRANSFER RESEARCH**

A research study involving the deliberate transfer of recombinant DNA or DNA or RNA derived from recombinant DNA into human subjects in an attempt to treat genetic disease by altering a subject's cells.

HUMAN SUBJECT

An individual whose physiologic or behavioral characteristics and responses are the object of study in a research project.

**HUMAN SUBJECT
RESEARCH**

Under the federal regulations, human subjects are defined as: living individual(s) about whom an Investigator conducting research obtains: (1) data through intervention or interaction with the individual; or (2) identifiable private information. NOTE: FDA's regulations define human subject as an individual and do not use the adjective "living." FDA authorization permitting its holder to collect safety and effectiveness data in a clinical investigation for the HDE-approved indication(s)

**HUMANITARIAN
DEVICE EXEMPTION
(HDE)**

HUMANITARIAN USE DEVICE (HUD)	without an investigational device exemption (IDE). An investigational device that is intended to treat or diagnose persons who have a disease or condition that affects fewer than 4,000 individuals in the United States per year.
IBC	See: <i>Institutional Biosafety Committee</i> .
IDE	See: <i>Investigational Device Exemptions</i> .
IDMC	See: <i>Independent Data Monitoring Committee</i> .
IMPARTIAL THIRD PARTY WITNESS (SOP 701)	A person who is not connected with the research, such as a non-research team employee, or relative of the participant, or any person similarly unconnected with the research.
INCLUSION / EXCLUSION CRITERIA	
INCOMPETENT	A legal term; used to denote the lack of capacity to act on one's own behalf; the inability to understand information presented, to appreciate the consequences of acting (or not acting) on that information, and the inability to make a choice.
INCAPACITY	Refers to a person's mental status and means inability to understand information presented, to appreciate the consequences of acting (or not acting) on that information, and to make a choice. Often used as a synonym for incompetence, though a finding of incapacity does not require court involvement. (See also: <i>Incompetent</i> .)
INCOMPETENT	Means that a person has been adjudged by a court, on account of his/her developmental disability, serious and persistent mental illness, degenerative brain disorder or other like incapacities, to be unable effectively to receive and evaluate information or to make or communicate decisions to such an extent that the individual is unable to meet the essential requirements for his/her physical health and safety. (See also: <i>Incapacity</i> .)
IND	See: <i>Investigational New Drug</i> .

**INDEPENDENT DATA
MONITORING
COMMITTEE (IDMC)**

An independent advisory committee established by the sponsor of a research study which is comprised of individuals not otherwise connected with the research study. The IDMC reviews study data reported by the sponsor and makes recommendations to the sponsor on whether research must be stopped because the benefits no longer justify the risks of the research or the risks are greater than anticipated. The IDMC is responsible for making sure that continuing a research study in its current format remains appropriate on both safety and scientific grounds.

**INDEPENDENT
PHYSICIAN**

A physician who is not otherwise participating in the research study at issue (who is consulted on behalf of the subject).

INFORMED CONSENT

A person's voluntary agreement, based upon adequate knowledge and understanding of relevant information, to participate in research or to undergo a diagnostic, therapeutic, or preventive procedure.

INQUIRY

The information gathering and initial fact-finding process to determine whether an allegation of apparent instance of research misconduct warrants an investigation.

INSTITUTION

(1): Any public or private entity or agency (including federal, state, and local agencies).
(2): A residential facility that provides food, shelter, and professional services (including treatment, skilled nursing, intermediate or long-term care, and custodial or residential care). Examples include general, mental, or chronic disease hospitals; inpatient community mental health centers; halfway houses and nursing homes; alcohol and drug addiction treatment centers; homes for the aged or dependent, residential schools for the mentally or physically handicapped; and homes for dependent and neglected children.

**INSTITUTIONAL
BIOSAFETY
COMMITTEE (IBC)
INSTITUTIONAL
OFFICIAL (IO)**

An Institutional committee that is responsible for reviewing and approving recombinant DNA research and biohazard projects..

An officer of an institution with the authority to speak for and legally commit the institution to adherence to the requirements of the federal regulations regarding the involvement of human subjects in biomedical and behavioral research. May also be referred to as "Signatory Official".

**INSTITUTIONAL
REVIEW BOARD (IRB)**

A specially constituted review body established or designated by an entity to protect the welfare of human subjects recruited to participate in biomedical or behavioral research.

**INSTITUTIONALIZED
COGNITIVELY
IMPAIRED**

Persons who are confined, either voluntarily or involuntarily, in a facility for the care of the mentally or otherwise disabled (*e.g.*, a psychiatric hospital, home, or school for the retarded).

INSTITUTIONALIZED

Confined, either voluntarily or involuntarily (*e.g.*, a hospital, prison, or nursing home).

INTERACTION

In the context of research, interaction includes communication (including conversations, monitoring, gathering, or recording of data, that occurs via telephone, e-mail, or other electronic device) or interpersonal contact between the Investigator, or member of the research staff, or other individual who is gathering and recording data for a research study.

INTERVENTION

In research, intervention includes both physical procedures by which data are gathered (for example, venipuncture) and manipulations of the subject or the subject's environment that are performed for research purposes. **[should include the "intervention" of a phone call to the subject to see if they are still living, having any AEs, etc. – ie. it is a research intervention.]**

INVESTIGATION

The formal examination and evaluation of all relevant facts to determine whether research misconduct has occurred.

**INVESTIGATIONAL
DEVICE**

A device that, under section 501(f) of the Act, is subject to pre-market approval to provide reasonable assurance of its safety and effectiveness for the purpose, condition, or use for which it is intended: (1) that requires, but does not have in effect for such purpose, condition, or use, an IDE under section 520(g) of the Act and Title 21, Part 812 of the Code of Federal Regulations; or (2) for which an IDE has been obtained pursuant to section 520(g) of the Act and Title 21, Part 812 of the Code of Federal Regulations. A device that has marketing clearance pursuant to either an FDA determination or substantial equivalence under section 501(k) of the Act, or an FDA approval order on a pre-market approval application under section 5125 of the Act, but which is being studied for an indication, purpose, condition or use not identified on its label, requires an IDE and is considered Investigational Devices for purposes of these polices.

**INVESTIGATIONAL
DEVICE EXEMPTIONS
(IDE)
INVESTIGATIONAL**

Exemptions from certain regulations found in the Medical Device Amendments that allow shipment of unapproved devices for use in clinical investigations. A drug or biologic which has not been approved by

NEW DRUG (IND)

the FDA that is used in a research study. The term also includes a biological product that is used in vitro for diagnostic purposes.

INVESTIGATIONAL DEVICE

A device permitted by FDA to be tested in humans but not yet determined to be safe and effective for a particular use in the general population and not yet licensed for marketing.

INVESTIGATOR

Investigator means an individual who actually conducts a clinical investigation (*i.e.*, under whose immediate direction the investigational agent is administered or dispensed to a subject). In the event an investigation is conducted by a team of individuals, the investigator is the responsible leader of the team. "Subinvestigator" includes any other individual member of that team. (FDA definition).

For all research, Aurora IRB also interprets an "Investigator" to be any individual who is involved in conducting human subjects research studies. Such involvement would include:

- obtaining information about living individuals by intervening or interacting with them for research purposes;
- obtaining identifiable private information about living individuals for research purposes;
- obtaining the voluntary informed consent of individuals to be subjects in research; and
- studying, interpreting, or analyzing identifiable private information or data for research purposes.

Investigators can include physicians, scientists, nurses, administrative staff, teachers, and students, among others. Some research studies are conducted by more than one investigator, and usually one investigator is designated the "Principal Investigator" with overall responsibilities for the study. In every human subjects research study, investigators have certain responsibilities regarding the ethical treatment of human subjects.

Also may be referred to as "Key Personnel".

(See also: Principal Investigator.)

INVESTIGATOR AGREEMENT

A document signed by the investigator in device studies that includes:

- a. investigator's curriculum vitae
- b. statement of investigator's relevant experience, including dates, location, extent, and type of

experience

c. if an investigator was involved in an investigation or other research that was terminated, an explanation of the circumstances that led to the termination

d. statement of the investigator's commitment to:

1. conduct the investigation in accordance with the agreement, the investigational plan, Parts 50, 56, and 812, and any conditions of approval imposed by the IRB or FDA
2. supervise all testing of the device involving human subjects
3. ensure that the requirements for informed consent are met (21 CFR Part 50).

IRB

See: *Institutional Review Board.*

JOINT COMMISSION

An independent, nonprofit, voluntary organization which develops standards and provides accreditation surveys and certification to hospitals and other health care organizations. Formerly known as “the Joint Commission” on Accreditation of Healthcare Organizations (JCAHO).

JUSTICE

An ethical principle discussed in the Belmont Report requiring fairness in distribution of burdens and benefits; often expressed in terms of treating persons of similar circumstances or characteristics similarly.

KEY PERSONNEL

See: *Investigator*

LAR

See: *Legally Authorized Representative*

LEGAL GUARDIAN

See: *Guardian*

LEGALLY

AUTHORIZED

REPRESENTATIVE

(LAR)

An individual’s health care agent designated in a valid and activated power of attorney for health care; an individual’s legally-appointed guardian of the person; an individual’s surrogate decisionmaker, or the consensus of surrogate decisionmakers (SOP 702).

LIFE THREATENING

ADVERSE DRUG

EXPERIENCE

LOCAL (AE)

Any adverse drug experience that places a subject, in the view of the investigator, at immediate risk of death from the reaction as it occurred.

An adverse event that occurs at a site for which the Aurora IRB is the IRB of record. See *Adverse Subject Event.*

MEDICAL DEVICE

A diagnostic or therapeutic article that does not achieve any of its principal intended purpose through chemical action within or on the body. Such devices include diagnostic test kits, crutches, electrodes,

**MEDICAL RECORD
UNIT (MRU)
MENTAL HEALTH
RECORDS (HIPAA)**

pacemakers, arterial grafts, intraocular lenses, and orthopedic pins or other orthopedic equipment.

A six digit number assigned by Aurora personnel that identifies a patient's medical record
Records that are generated by a hospital unit or clinic that are designated as "certified mental health treatment facilities: by Wisconsin DHS are governed under WI Chapter 51 as behavioral health records.
See Incapacity.

**MENTALLY
INCAPACITATED
MINIMAL RISK**

A risk is minimal where the probability and magnitude of harm or discomfort anticipated in the proposed research are not greater, in and of themselves, than those ordinarily encountered in daily life or during the performance of routine physical or psychological examinations or tests. For example, the risk of drawing a small amount of blood from a healthy individual for research purposes is no greater than the risk of doing so as part of routine physical examination.

Note: The definition of minimal risk for research involving prisoners differs somewhat from that given for noninstitutionalized adults.

MINIMUM NECESSARY

In some circumstances, the Privacy Rule stipulates that covered entities limit the amount of information disclosed to the minimum necessary to achieve the specified goal.

MODIFICATION

An amendment or change to a previously approved study/protocol.

MONITORING

The collection and analysis of data as the project progresses to assure the appropriateness of the research, its design and subject protections.

**MRU
NATIONAL CANCER
INSTITUTE CENTRAL
INSTITUTIONAL
REVIEW BOARD (NCI
CIRB)**

See: Medical Record Unit.

NCI CIRB provides review of Phase 3 Cooperative Group adult cancer treatment protocols and selected other cancer trials.

**NATIONAL
COMMISSION**

National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research. An interdisciplinary advisory body, established by Congressional legislation in 1974, which was in existence until 1978, and which issued a series of reports and recommendations on ethical issues in research and medicine, many of which are now embodied in federal regulations.

**NATIONAL
INSTITUTES OF**

A federal agency within the Public Health Service, DHHS, comprising 21 institutes and centers. It is

HEALTH (NIH)

responsible for carrying out and supporting biomedical and behavioral research.

NCI CIRB

See: *National Cancer Institute Central Institutional Review Board*

NDA

See: *New Drug Application*.

NEONATE

A newborn infant during the first 28 days of life.

NEW DRUG

Request for FDA approval to market a new drug.

APPLICATION (NDA)

NEXT OF KIN

The term used to describe a person's closest living blood relative or relatives. In many legal systems, rights regarding and substitute decision making capacity (for example, in a medical emergency) where no clear will or instructions have been given, and the person has no spouse, flow to their closest relative of the age of majority, usually a parent or a sibling, but occasionally an adult child. However, there are people without any close adult relatives and, in such a case, decision making power often flows to a first cousin, aunt, uncle, or grandparent.

See: *National Institutes of Health*.

NIH

NONAFFILIATED

MEMBER

Member of an Institutional Review Board who has no ties to the parent institution, its staff, or faculty. This individual is usually from the local community (*e.g.*, minister, business person, attorney, teacher, homemaker).

NONCOMPLIANCE

The failure of an Investigator, his/her designees, IRB members, RSPP staff members, or any other person to adhere to the IRB policies, an IRB determination, applicable law governing the conduct of research on human subjects, and/or the IRB-approved protocol.

NONSIGNIFICANT

RISK DEVICE

An investigational medical device that does not present significant risk to the patient.

See also: *Significant Risk Device*.

NONTHERAPEUTIC

RESEARCH

Research that has no likelihood or intent of producing a diagnostic, preventive, or therapeutic benefit to the current subjects, although it may benefit subjects with a similar condition in the future.

NONVIABLE FETUS

An expelled or delivered fetus which, although it is living, cannot possibly survive to the point of sustaining life independently, even with the support of available medical therapy. Although it may be presumed that an expelled or delivered fetus is nonviable at a gestational age less than 20 weeks and weight less than 500 grams, a specific determination as to viability must be made by a physician in each instance. (See also: *Viable Infant*.)

NON-VOTING MEMBER

One or more nonvoting members may sit on the IRB on an as-needed basis when the research reviewed requires specific expertise of an IRB member from a different Aurora IRB, an Administrator of a Facility or representative of an Aurora region. Nonvoting members shall not vote on any research proposals or be counted toward quorum.

NUREMBERG CODE

A code of research ethics developed during the trials of Nazi war criminals following World War II and widely adopted as a standard during the 1950s and 1960s for protecting human subjects.

OBSERVATIONAL STUDY

Behavioral, social, or anthropological research involving the study of persons or groups in their own environment and without manipulation for research purposes (distinguished from laboratory or controlled settings).

**OCR
OFFICE FOR HUMAN RESEARCH PROTECTIONS (OHRP)**

See: *Office of Civil Rights*
The office within the Department of Health and Human Services, responsible for implementing DHHS regulations (45 CFR Part 46) governing research involving human subjects.

**OFFICE OF CIVIL RIGHTS (OCR)
OFFICE OF RESEARCH INTEGRITY (ORI)**

The office within the Department of Health and Human Services responsible for enforcing HIPAA. An office within the Office of Public Health and Science, that is responsible for investigating research misconduct and the integrity of research activities. The jurisdiction of ORI is limited to Research Misconduct in a PHS-sponsored Research Study

OFFICE OF THE INSPECTOR GENERAL (OIG)

With respect to DHHS, it is the federal office responsible for conducting and supervising audits, investigations, and inspections relating to programs and operations of the DHHS. The OIG's efforts are to improve DHHS efficiency as well as prevent fraud and abuse.

OFF LABEL USE

The use of an approved device or drug that differs from its approved indication.

**OHRP
OIG
OPEN**

See: *Office for Human Research Protections*
See: *Office of the Inspector General*
The status of a study with the Aurora IRB in which 1) subjects are being accrued; 2) subjects are being followed for purposes of the study; or 3) identifiable subject information is being collected/accessed for purposes of the study.

OPEN DESIGN

An experimental design in which both the Investigator(s) and the subjects know the treatment group(s) to which subjects are assigned.

ORI

See: *Office of Research Integrity*

**PACKAGE INSERT
PARENTAL
PERMISSION**

Parents or other surrogates provide informed consent (permission) for children with the assent of the child whenever appropriate as set forth in DHHS regulations at 45 CFR 46.408.

**PATERNALISM
PERMISSION**

Making decisions for others against or apart from their wishes with the intent of doing them good. The agreement of parent(s) or guardian to the participation of their child or ward in research.

PHARMACOLOGY

The scientific discipline that studies the action of drugs on living systems (animals or human beings).

PHASE 1 TRIALS

Includes the initial introduction of an investigational new drug into humans. These studies are typically conducted with healthy volunteers; sometimes, where the drug is intended for use in patients with a particular disease, however, such patients may participate as subjects. Phase 1 trials are designed to determine the metabolic and pharmacological actions of the drug in humans, the side effects associated with increasing doses (to establish a safe dose range), and, if possible, to gain early evidence of effectiveness; they are typically closely monitored. The ultimate goal of Phase 1 trials is to obtain sufficient information about the drug's pharmacokinetics and pharmacological effects to permit the design of well-controlled, sufficiently valid Phase 2 studies. Other examples of Phase 1 studies include studies of drug metabolism, structure-activity relationships, and mechanisms of actions in humans, as well as studies in which investigational drugs are used as research tools to explore biological phenomena or disease processes. The total number of subjects involved in Phase 1 investigations is generally in the range of 20-80.

**PHASE 1, 2, 3, 4 DRUG
TRIALS**

Different stages of testing drugs in humans, from first application in humans (Phase 1) through limited and broad clinical tests (Phases 2 and 3), to post-marketing studies (Phase 4).

PHASE 2 TRIALS

Includes controlled clinical studies conducted to evaluate the drug's effectiveness for a particular indication in patients with the disease or condition under study, and to determine the common short-term side effects and risks associated with the drug. These studies are typically well controlled, closely monitored, and conducted with a relatively small number of patients, usually involving no more than

PHASE 3 TRIALS

several hundred subjects.

Involves the administration of a new drug to a larger number of patients in different clinical settings to determine its safety, efficacy, and appropriate dosage. They are performed after preliminary evidence of effectiveness has been obtained, and are intended to gather necessary additional information about effectiveness and safety for evaluating the overall benefit-risk relationship of the drug, and to provide an adequate basis for physician labeling. In Phase 3 studies, the drug is used the way it would be administered when marketed. When these studies are completed and the sponsor believes that the drug is safe and effective under specific conditions, the sponsor applies to the FDA for approval to market the drug. Phase 3 trials usually involve several hundred to several thousand patient-subjects.

PHASE 4 TRIALS

Studies conducted after a drug has been approved by FDA, to delineate additional information about the drug's risks, benefits, and optimal use. These studies could include, but would not be limited to, studying different doses or schedules of administration than were used in Phase 2 studies, use of the drug in other patient populations or other stages of the disease, or use of the drug over a longer period of time.

PHENOTYPE

The physical manifestation of a gene function.

PHI

See: *Protected Health Information*

PHS

See: *Public Health Service.*

PLACEBO

An inert substance or sham activity used in the guise of treatment; used in controlled clinical trials as a comparator to determine if an investigational therapy is more effective than no treatment.

POLICIES

The Aurora IRB Policies.

POST MARKETING STUDY

A study that collects data on a drug or device that has been approved by the FDA, sometimes called a Phase IV study..

POWER OF ATTORNEY FOR HEALTHCARE

A type of advance directive executed by a competent adult that appoints another individual to make medical treatment decisions on his or her behalf in the event that the person making the appointment loses decision-making capacity. The appointed surrogate is often referred to as the patient advocate, patient proxy, patient representative, or health care agent. The laws of Wisconsin governing the authority of this individual in research is silent. Also known as a Durable Power of Attorney for Health Care.

PRACTICABLE

Capable of being effected, done or put into practice; feasible. Useable for a specified purpose.

PREGNANCY

The period of time from confirmation of implantation of a fertilized egg within the uterus until the fetus has entirely left the uterus (*i.e.*, has been delivered). Implantation is confirmed through a presumptive sign of pregnancy such as missed menses or a positive pregnancy test. This “confirmation” may be in error, but, for research purposes, investigators would presume that a living fetus was present until evidence to the contrary was clear. Although fertilization occurs a week or more before implantation, the current inability to detect the fertilization event or the presence of a newly fertilized egg makes a definition of pregnancy based on implantation necessary.

PRE-MARKET APPROVAL

Process of scientific and regulatory review by the FDA to ensure the safety and effectiveness of Class III devices.

PREPARATORY TO RESEARCH [HIPAA]

Accessing protected health information (PHI) in order to identify potential research subjects or aid in the preparation of a research proposal (feasibility). Completion of a Request to Review Medical Records for Research Purposes (Form 502A) is required. President’s Commission for the Study of Ethical Problems in Medicine and Biomedical and Behavioral Research. An interdisciplinary advisory group, established by congressional legislation in 1978, which was in existence until 1983, and which issued reports on ethical problems in health care and in research involving human subjects.

PRESIDENT’S COMMISSION

PRIMARY REVIEWER

IRB member given the responsibility for the review of a study/protocol, modification or adverse event.

PRINCIPAL INVESTIGATOR

The scientist or scholar with primary responsibility for the design and conduct of a research project and who is ultimately responsible for all aspects of the approved research protocol. (See also: *Investigator*.)

PRISONER

An individual involuntarily confined in a penal institution, including persons: (1) sentenced under a criminal or civil statute; (2) detained pending arraignment, trial, or sentencing; and (3) detained in other facilities (*e.g.*, for drug detoxification or treatment of alcoholism) under statutes or commitment procedures providing such alternatives to criminal prosecution or incarceration in a penal institution.

The definition of minimal risk for research involving

prisoners differs somewhat from that given for non-institutionalized adults.

PRIVACY

Control over the extent, timing, and circumstances of sharing oneself (physically, behaviorally, or intellectually) with others.

**PRIVACY BOARD
[HIPAA]**

A review body that may be established to act upon requests for a waiver or an alteration of the Authorization requirement under the Privacy Rule for uses and disclosures of PHI for a particular research study. A Privacy Board may waive or alter all or part of the Authorization requirements for a specified research project or protocol. A covered entity may use and disclose PHI, without an Authorization, or with an altered Authorization, if it receives the proper documentation of approval of such alteration or waiver from a Privacy Board.

PRIVACY RULE

The Aurora IRB has been designated as the HIPAA Privacy Board for Aurora Health Care.

The *Standards for Privacy of Individually Identifiable Health Information* (45 CFR Part 160 and Subparts A and E of Part 164), which are the regulations issued by the DHHS under the authority of the Health Insurance Portability and Accountability Act of 1996 (HIPAA).

**PROSPECTIVE
STUDIES**

Studies designed to observe outcomes or events that occur subsequent to the identification of the group of subjects to be studied. Prospective studies need not involve manipulation or intervention but may be purely observational or involve only the collection of data.

**PROTECTED HEALTH
INFORMATION (PHI)**

Information that is transmitted or maintained in any form or medium and (i) is created or received by a health care provider, health plan, employer or health care clearinghouse; (ii) relates to the past, present or future physical or mental health or condition of an individual; the provision of health care to the individual; or the past, present or future payment for the provision of health care to an individual; and (iii) identifies the individual (or for which there is a reasonable basis for believing that the information can be used to identify the individual). Protected Health Information excludes (i) education records covered by the Family Educational Right and Privacy Act, as amended, 20 U.S.C. 1232g; (ii) records described at 20 U.S.C. 1232g (a)(4)(B)(iv); and (iii) employment records held by an entity governed by HIPAA in its role as an employer.

PROTOCOL

The formal design or plan of an experiment or research activity; specifically, the plan submitted to an IRB for review and to an agency for research support. The protocol includes a description of the research design or methodology to be employed, the eligibility requirements for prospective subjects and controls, the treatment regimen(s), and the proposed methods of analysis that will be performed on the collected data.

PROTOCOL EXCEPTION

A one-time, intentional, time-sensitive action or process that departs from the IRB-approved study protocol, intended for one occurrence. Protocol Exceptions are classified as minor or significant.

PROTOCOL VIOLATION

Any action affecting a research subject (or potential subject) which deviates from, or does not comply with, the conduct of a research study as reviewed and approved by the IRB, or Noncompliance with Aurora policies or federal regulations. Protocol violations are classified as minor or significant violations.

PUBLIC HEALTH SERVICE (PHS)

Part of the U.S. Department of Health and Human Services, it includes FDA, NIH, CDC, SAMHSA, and HRSA.

QUORUM

An IRB meeting will have a quorum when the following are present: (1) a majority (more than half) of voting members; (2) at least one member whose primary concerns are in scientific areas; (3) at least one member whose primary concerns are in nonscientific areas; (4) at least one unaffiliated member; AND (5) when research involves the enrollment of subjects who are vulnerable to coercion or undue influences, at least one member who is knowledgeable about or experienced in working with such subjects. When research involves the enrollment of subjects who are inpatients in a hospital and are being treated primarily for conditions related to mental health, developmental disabilities, alcoholism, or drug abuse, there shall be one member who is or has been a consumer of such services and one who represents an organization or agency that advocates the rights of such inpatients. When research involves prisoners, the prisoner representative shall be present.

**RAC
RADIATION SAFETY
COMMITTEE**

See: *Recombinant DNA Advisory Committee*.
An institutional committee responsible for the use of radiation in human subjects for research purposes.

Research involving human subjects that proposes to use radioactive drugs must meet various FDA requirements, including limitations on the pharmacological dose and the radiation dose. Furthermore, the exposure to radiation must be justified by the quality of the study and the importance of the information it seeks to obtain. The committee is also responsible for continuing review of the use of radiation to ensure that the research continues to comply with FDA requirements, including reporting obligations. The committee must include experts in nuclear medicine and the use of radioactive drugs, as well as other medical and scientific members.

RADIOACTIVE DRUG

Any substance defined as a drug in the Federal Food, Drug and Cosmetic Act that exhibits spontaneous disintegration of unstable nuclei with the emission of nuclear particles or photons. Included are any nonradioactive reagent kit or nuclide generator that is intended to be used in the preparation of a radioactive drug and “radioactive biological products.” Drugs such as carbon-containing compounds or potassium-containing salts containing trace quantities of naturally occurring radionuclides are not considered radioactive drugs.

RANDOM

Assignment of subjects to different treatments, interventions, or conditions according to chance rather than systematically (*e.g.*, as dictated by the standard or usual response to their condition, history, or prognosis, or according to demographic characteristics). Random assignment of subjects to conditions is an essential element of experimental research because it makes more likely the probability that differences observed between subject groups are the result of the experimental intervention.

**RANDOM
ASSIGNMENT**

RANDOMIZATION

RANDOMIZED

RCA

See: *Research Compliance Analyst*

**RECOMBINANT DNA
TECHNOLOGY**

DNA resulting from the insertion into the chain, by chemical or biological means, of a sequence (a whole or partial chain of DNA) not originally (biologically) present in that chain. Recombinant DNA technology is also used to develop diagnostic screens and tests, as well as drugs and biologics for treating diseases with genetic components.

**RECRUITMENT
RECRUITMENT
MATERIALS**

Solicitation of prospective research subjects. Any form of solicitation for prospective research subjects including, but not limited to, fliers, posters, brochures, screening tools (*i.e.* scripts or

questionnaires), recruitment letters, postcards, ~~and~~ clinical trial web sites, or communications intended to be seen or heard by health care professionals such as “dear doctor” letters and doctor-to-doctor letters (unless not soliciting for study subjects), or oral communications by an investigator or his staff. Not included in this definition are news stories (unless the potential subject has the opportunity to call for more information) and publicity intended for other audiences, such as financial page advertisements directed towards prospective investors.

RECUSE

To disqualify (oneself) as judge in a particular case; *broadly*: to remove (oneself) from participation to avoid a conflict of interest.

**REMUNERATION
RESEARCH**

Payment for participation in research. Research is a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge. A research project generally is described in a protocol that sets forth explicit objectives and formal procedures designed to reach those objectives.

Differentiate between FDA and OHRP’s definitions

**RESEARCH
COMPLIANCE
ANALYST (RCA)**

Staff of the RSPP office whose responsibilities include review of all IRB submissions in regards to compliance with federal, state and local regulations, and institutional policies. Provides investigators and research staff and IRB membership with continuing education of the application of ethical principles in the conduct of human subject research.

**RESEARCH
COMPLIANCE
OFFICER
RESEARCH
INTEGRITY
COMMITTEE (RIC)**

The Aurora committee responsible for review, oversight and management of significant financial interests and non-financial interest held by clinical investigators conducting human subjects research at Aurora Health Care, administrators and employees whose job function relates to the oversight or protection of human subjects, and IRB members. The research intermediary meets with subjects in order to confirm that subjects understand the scope

**RESEARCH
INTERMEDIARY**

of the research as well as any risks and/or benefits to the subject. The research intermediary visits regularly with subjects to determine if they truly understand the research study in which they are considering taking part, how they will participate and what subjects expect from the experience. The intermediary seeks the answers to questions posed by the subjects, addresses any concerns they might have and confirms that they, in fact, want to take part in the study. The intermediary reminds subjects that they may change their minds about participating in the research at any time.

RESEARCH MISCONDUCT

Fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results. Research misconduct does not include honest error or differences of opinion.

RESEARCH STUDY

Any activity designed to test a hypothesis and permit conclusions to be drawn to develop or contribute to generalizable knowledge.

RESEARCH SUBJECT PROTECTION PROGRAM (RSPP)

The program that oversees the protection of human subjects who participate in research at Aurora Health Care.

RESPECT FOR PERSONS

An ethical principle discussed in the Belmont Report requiring that individual autonomy be respected and that persons with diminished autonomy be protected.

RETROSPECTIVE STUDIES

Research conducted by reviewing records from the past (*e.g.*, birth and death certificates, medical records, school records, or employment records) or by obtaining information about past events elicited through interviews or surveys.

REVIEW [OF RESEARCH]

The concurrent oversight of research on a periodic basis by an IRB. In addition to the at least annual reviews mandated by the federal regulations, reviews may, if deemed appropriate, also be conducted on a continuous or periodic basis.

RIC RISK

See: *Research Integrity Committee*

The probability of harm or injury (physical, psychological, social, or economic) occurring as a result of participation in a research study. Both the probability and magnitude of possible harm may vary from minimal to significant. Federal regulations define only “minimal risk.” (See also: *Minimal Risk.*)

**RSPP
RSPP MANAGER**

See: *Research Subject Protection Program*
The manager of the RSPP program that serves as the Human Protections Administrator as required by OHRP.

SAFETY REPORT

A written report drafted by a sponsor which notifies the FDA and all participating investigators of: (1) any adverse experience associated with the use of an investigation drug that is both serious and unexpected; or (2) any finding from tests in laboratory animals that suggests a significant risk for human subjects. The sponsor must make each notification as soon as possible and in no event later than 15 calendar days after the sponsor's initial receipt of the information. An example is a Medwatch report for investigational drugs.

SCREEN FAILURE

Subjects who have signed a consent form, but did not meet eligibility (inclusion/exclusion) criteria.

**SENSITIVE
INFORMATION
[HIPAA]**

With regard to HIPAA, PHI that specifically relates to: (i) treatment for mental health, developmental disabilities, alcohol and drug abuse; or (ii) treatment of an illness related to, or testing for the presence of the human immunodeficiency virus ("HIV").

**SERIOUS ADVERSE
DRUG EXPERIENCE**

Any adverse drug experience occurring at any dose that results in a subject experiencing any of the following outcomes: death; a life threatening adverse drug experience; inpatient hospitalization or prolongation of existing hospitalization; a persistent or significant disability/incapacity; or a congenital anomaly/birth defect. Important medical events that may not result in death, be life threatening, or require hospitalization may be considered a serious adverse drug experience when, based upon appropriate medical judgment, they may jeopardize a subject and may require medical or surgical intervention to prevent one of the outcomes listed in this definition. Examples of such medical events include allergic bronchospasm requiring intensive treatment in an emergency room or at home, blood dyscrasias or convulsions that do not result in inpatient hospitalization, or the development of drug dependency or drug abuse.

**SERIOUS ADVERSE
EVENT**

Any incident involving an Investigational Drug or Investigational Device which: (1) with respect to an Investigational Drug, is both a Serious Adverse Drug Experience and an Unexpected Adverse Drug Experience; or (2) with respect to an Investigational

Device, is an Unanticipated Adverse Device Effect.

**SERIOUS ADVERSE
SUBJECT EVENT**

Any Adverse Subject Event temporally associated with the subject's participation in research that results in death, is life-threatening (places the subject in immediate risk of death from the event as it occurred), results in inpatient hospitalization or prolongation of existing hospitalization, results in persistent or significant disability/incapacity, results in a congenital anomaly/birth defect, or, based upon appropriate medical judgment, may jeopardize the subject's health and may require medical or surgical intervention to prevent one of the other outcomes listed in this definition

**SHORT FORM
CONSENT DOCUMENT**

The federal regulations [§46.117(b)(2)] permit oral presentation of informed consent information in conjunction with a short form written consent document (stating that the elements of consent have been presented orally) and a written summary of what is presented orally. A witness to the oral presentation is required, and the subject must be given copies of the short form document and the summary.

When this procedure is used with subjects who do not speak English, (i) the oral presentation and the short form written document (see sample attached) should be in a language understandable to the subject; (ii) the IRB-approved English language informed consent document may serve as the summary; and (iii) the witness should be fluent in both English and the language of the subject.

**SIGNIFICANT
FINANCIAL INTEREST**

Includes ownership interest, stock options, or other financial interest related to the research unless it meets each of these four tests: (1) Less than \$10,000 when aggregated for the immediate family, (2) Publicly traded on a stock exchange, (3) Value will not be affected by the outcome of the research, and (4) Less than 5% interest in any one single entity. Also includes compensation related to the research unless it meets two tests: (1) Less than \$10,000 in the past year when aggregated for the immediate family, and (2) Amount will not be affected by the outcome of the research. Further includes a proprietary interest related to the research including, but not limited to, a patent, trademark, copyright or

licensing agreement.

**SIGNIFICANT RISK
DEVICE**

An investigational medical device that presents a potential for serious risk to the health, safety, or welfare of the subject.

**SIGNIFICANT NEW
FINDING**

Significant new information to be submitted to the IRB including: reports generated from a Data and Safety Monitoring Board (DSMB), annual reports from sponsors, revised Investigator's Brochures/Device Manuals, current literature, and other sources to ascertain the status of the study.

SINGLE-BLIND DESIGN

Typically, a study design in which the Investigator, but not the subject, knows the identity of the treatment assignment. Occasionally the subject, but not the Investigator, knows the assignment.

SINGLE PATIENT USE

This occurs when a medical practitioner obtains an investigational drug for a single, identified patient who: (1) is not enrolled in a research study; (2) is in a desperate situation and (3) is unresponsive to other therapies or in a situation where no approved or generally recognized treatment is available.

SITE ADMINISTRATOR

An individual with administrative responsibility for a particular facility or facilities.

SITE VISIT

A visit by agency officials, representatives, or consultants to the location of a research activity to assess the adequacy of IRB protection of human subjects or the capability of personnel to conduct the research.

**SOP
SPONSOR**

See: *Standard Operating Procedure*

A person or an entity that initiates a research study, but does not actually conduct the investigation, *i.e.*, the investigational drug or investigational device is administered or dispensed to, or used in connection with, a subject under the immediate direction of another individual. A person other than an individual that uses one or more of its own employees to conduct a research study that it has initiated is considered to be a sponsor (not a sponsor-investigation) and the employees are considered to be investigators. An Investigator may, however, serve as a Sponsor-Investigator.

**SPONSOR-
INVESTIGATOR**

An individual who both initiates and actually conducts, alone or with others, a clinical investigation. Corporations, agencies, or other institutions do not qualify as Sponsor-Investigators.

STANDARD

The policies and procedures that govern the Aurora

**OPERATING PROCEDURES (SOP)
STATISTICAL SIGNIFICANCE**

SUBJECT SUBMITTED

SURROGATE DECISION MAKERS [SOP 702]

SURVEYS

SUSPENSION

SYSTEMATIC INVESTIGATION

TERMINATION

TEST ARTICLE

THERAPEUTIC INTENT

IRB.

A determination of the probability of obtaining the particular distribution of the data on the assumption that the null hypothesis is true. Or, more simply put, the probability of coming to a false positive conclusion. If the probability is less than or equal to a predetermined value (*e.g.*, 0.05 or 0.01), then the null hypothesis is rejected at that significance level (0.05 or 0.01).

See: *Human Subject*.

The status of a research study that has been given to the Aurora IRB for review by an investigator but has not yet received the final approval of the Aurora IRB.

The following individuals are considered surrogate decision makers (“surrogate(s)”) according to Aurora IRB policy: spouse or domestic partner (as defined in Aurora Health Care System Administrative Policy #151); adult children; parents; adult siblings; and/or other close relatives or friends who are aware of the prospective research subject’s values and likely preferences concerning research participation.

Studies designed to obtain information from a large number of respondents through written questionnaires, telephone interviews, door-to-door canvassing, or similar procedures.

A “for-cause” temporary withdrawal of IRB approval of research activities. The IRB is required to report this action to OHRP, FDA, and other federal agencies as indicated.

The implementation of rule-based methods, specified in the investigation plan, that are repeated with multiple subjects (or their data) in a consistent manner across the subjects. Alternatively, the method may be implemented according to specified rules with a single subject for certain types of investigations. To be considered research, the explicit purpose of the systemic investigation must be to contribute to Generalizable Knowledge.

A “for-cause” withdrawal of IRB approval of a study. The IRB is required to report this action to OHRP, FDA, and other federal agencies as indicated.

Any drug (including a biological product for human use), medical device for human use, or any other article subject to regulation by the Food and Drug Administration.

The research physician’s intent to provide some

benefit to improving a subject's condition (*e.g.*, prolongation of life, shrinkage of tumor, or improved quality of life, even though cure or dramatic improvement cannot necessarily be effected.) This term is sometimes associated with Phase 1 drug studies in which potentially toxic drugs are given to an individual with the hope of inducing some improvement in the patient's condition as well as assessing the safety and pharmacology of a drug. Treatment intended and expected to alleviate a disease or disorder.

THERAPY

TISSUE SAMPLE

Samples of skin, heart valves, musculoskeletal tissue, such as bone, cartilage, ligaments and tendon, along with blood, saliva, and other tissues or body fluids.

TREATMENT IND

A limited research study that is added to an existing IND application. The FDA will issue a Treatment IND if: (1) the drug is intended to treat a serious or immediately life-threatening disease; (2) there is no satisfactory alternative treatment available; (3) the drug is already under investigation, or research studies have been completed; and (4) the sponsor is actively pursuing marketing approval.

TREATMENT IDE

A limited research study that is added to an existing IDE application. The FDA will consider use of an investigational device under a treatment IDE if: (1) the device is intended to treat a serious or immediately life-threatening disease; (2) there is no satisfactory alternative treatment available; (3) the device is already under investigation, or research studies have been completed; and (4) the sponsor is actively pursuing marketing approval

**UNANTICIPATED
ADVERSE DEVICE
EFFECTS**

Any serious adverse effect on health or safety or any life-threatening problem or death caused by, or associated with, an investigational device if that effect, problem, or death was not previously identified in nature, severity, or degree of incidence in the investigational plan or application, or any other unanticipated serious problem associated with a device that relates to the rights, safety, or welfare of subjects.

**UNANTICIPATED
PROBLEM**

Any incident, experience, or outcome that is (1) unexpected (in terms of nature, severity, or frequency) given the research procedures described in the protocol and related documents and the characteristics of the population being studied, or has occurred beyond the expected frequency and/or severity previously identified; (2) related or possibly related to the participation in the research. For

example, exposure of a technician to increased levels of radiation due to a malfunctioning investigational imaging device would be an Unanticipated Problem. The IRB would review the report of such event as a possible UPIRSO [Unanticipated Problem Involving Risk to Subjects or Others] if it involves increased risk to subjects or others.

UNANTICIPATED PROBLEMS INVOLVING RISK TO SUBJECTS OR OTHERS (UPIRSO)

Any incident, experience, or outcome that is (1) unexpected (in terms of nature, severity, or frequency) given the research procedures described in the protocol and related documents and the characteristics of the population being studied; (2) related or possibly related to the participation in the research; and (3) suggests that the research places subjects or others at a greater risk of harm (including physical, psychological, economic, or social harm) than was previously known or recognized. “Others” may include subjects’ family members, health care providers, and research staff. For example, exposure of a technician to increased levels of radiation due to a malfunctioning investigational imaging device would be an Unanticipated Problem Involving Risks to Subjects or Others.

UNEXPECTED ADVERSE DRUG EXPERIENCE

Any adverse experience with an investigational drug that is not identified in nature, severity, or frequency in the current investigator brochure; or, if an investigator brochure is not required, that is not identified in nature, severity, or frequency in the risk information described in the general investigational plan.

UNEXPECTED [Per Aurora IRB Immediate Reporting policy (SOP 403)]

The specificity and severity are not accurately reflected in the information previously submitted to the IRB (e.g. protocol and/or informed consent document). [Note an event is considered “unexpected” if it is described with specificity within the documents previously provided to the IRB, but has occurred beyond the expected frequency and/or severity identified.]

UPIRSO

See “Unanticipated Problem Involving Risk to Subjects or Others”

US DEPARTMENT OF HEALTH AND HUMAN

The department of the executive branch of the federal government responsible for the federal health

SERVICES (DHHS)

programs in the civilian sector.

VACCINE

A biologic product generally made from an infectious agent or its components — a virus, bacterium, or other microorganism — that is killed (inactive) or live-attenuated (active, although weakened). Vaccines may also be biochemically synthesized or made through recombinant DNA techniques.

VARIABLE

An element or factor that the research is designed to study, either as an experimental intervention or a possible outcome (or factor affecting the outcome) of that intervention.

VIABLE INFANT

When referring to a delivered or expelled fetus, the term “viable infant” means likely to survive to the point of sustaining life independently, given the benefit of available medical therapy. This judgment is made by a physician. In accordance with DHHS regulations, the Secretary, HHS, may publish guidelines to assist in the determination of viability. Such guidelines were published in 1975, and specify an estimated gestational age of 20 weeks or more and a body weight of 500 grams or more as indices of fetal viability. These indices depend on the state of present technology and may be revised periodically. (See also: *Nonviable Fetus*.)

**VICE CHAIRPERSON
VIOLATION
VOLUNTARY**

The Vice Chairperson of an Aurora IRB.

See: *Protocol Violation*.

Free of coercion, duress, or undue inducement. Used in the research context to refer to a subject’s decision to participate (or to continue to participate) in a research activity.

**VULNERABLE
POPULATIONS**

Subjects such as children, prisoners, pregnant women, handicapped, or mentally disabled persons, or economically or educationally disadvantaged persons who are likely to be vulnerable to coercion or undue influence.

**VULNERABLE
SUBJECTS**

Individuals whose willingness to volunteer in a clinical trial may be unduly influenced by the expectation, whether justified or not, of benefits associated with participation, or of a retaliatory response from senior members of a hierarchy in case of refusal to participate. Examples are members of a group with a hierarchical structure, such as medical, pharmacy, dental, and nursing students, subordinate hospital and laboratory personnel, employees of the pharmaceutical industry, members of the armed forces, and persons kept in detention. Other

vulnerable subjects include patients with incurable diseases, persons in nursing homes, unemployed or impoverished persons, patients in emergency situations, ethnic minority groups, homeless persons, nomads, refugees, minors, and those incapable of giving consent.

WAIVER OF AUTHORIZATION

The documentation that the covered entity obtains from a researcher or a Privacy Board that states that the Privacy Board has waived or altered the Privacy's Rule's requirement that an individual must authorize a covered entity to use or disclose the individual's PHI for research purposes.

WAIVER OF CONSENT

An IRB may approve a consent procedure which does not include, or which alters, some or all of the elements of informed consent set forth in this section, or waive the requirements to obtain informed consent provided the IRB finds and documents that:

- (1) the research involves no more than minimal risk to the subjects;
- (2) the waiver or alteration will not adversely affect the rights and welfare of the subjects;
- (3) the research could not practicably be carried out without the waiver or alteration; and
- (4) whenever appropriate, the subjects will be provided with additional pertinent information after participation.

WAIVER OF DOCUMENTATION OF CONSENT

An IRB may waive the requirement for the investigator to obtain a signed consent form for some or all subjects if it finds either:

- (1) That the only record linking the subject and the research would be the consent document and the principal risk would be potential harm resulting from a breach of confidentiality. Each subject will be asked whether the subject wants documentation linking the subject with the research, and the subject's wishes will govern; or
- (2) That the research presents no more than minimal risk of harm to subjects and involves no procedures for which written consent is normally required outside of the research context.

WARD

A minor or incompetent person placed under the care or protection of a guardian or court.

WASHOUT

A period of time in which subjects are not receiving an intervention and/or treatment for the indication under investigation and the effects of a previous treatment are eliminated. Washout periods are sometimes required or allowed (per the protocol) before the screening process to help determine

WITHDRAWN

eligibility.

- 1) The status of a research study with the Aurora IRB. The study has been submitted to the IRB office (it may have even been reviewed by the IRB), however the investigator has requested that the study be removed from IRB consideration. If the approval letter has not been issued for the study, a written request from the investigator will be filed in the study file, and the “withdrawn” designation entered into Pro IRB.

WITNESS

See: *Impartial Third Party Witness*