Northwestern University
Local Context Information

Institutional Information
- Full Legal Name: Northwestern University
- Institution Category: Private Non-Profit University
- Mailing Address: 633 Clark St. Evanston, IL 60208
- Website: https://irb.northwestern.edu/index.html

OHRP Federalwide Assurance:
- FWA00001549
- FWA Expiration: 12/14/2026
- The FWA has NOT been extended to non-federally funded research
- More information can be found at: https://irb.northwestern.edu/about/irb-information/index.html

IRB Organizations Number: IORG0000247

AAHRPP (Association for the Accreditation of Human Research Protection Programs, Inc):
- Initial Accreditation Date: 12/19/2016
- Reaccreditation Date: 12/15/2019
- More information can be found at: https://irb.northwestern.edu/about/irb-information/aahrpp-accreditation.html

Covered Entities: Northwestern University is not a covered entity under HIPAA, but through Master Agreements the Northwestern University IRB is authorized to serve as the Privacy Board for Northwestern Memorial Healthcare and Shirley Ryan AbilityLab.

IRB Membership List/Roster: https://irb.northwestern.edu/about/irb-information/panels-rosters.html

Institutional Review Boards: 5 biomedical boards and 1 social-behavioral board. Panels A, B, C, D, and E meet monthly and IRB agendas are set two-weeks prior to meeting date. Panel Q meets weekly and reviews biomedical studies that are up for continuing review as well as time sensitive submissions.
- IRB00000418
- IRB00000419
- IRB00000736
- IRB00000420
- IRB00002600
- IRB00005003

Primary Institutional Affiliations: The Northwestern University IRB is affiliated and, through Master Agreements, acts as the IRB of record for Northwestern Memorial Healthcare and Shirley Ryan AbilityLab.
- Northwestern Memorial Healthcare:
  o Northwestern Medicine locations: https://www.nm.org/locations
  o Northwestern Medical Group locations: https://nmg.nm.org/locations.html
Illinois Laws to Consider when Reviewing the Northwestern Site (Not an Exhaustive List):

- **The Illinois Medical Studies Act**
  - The Illinois Medical Studies Act protects information and data used in internal quality control or medical studies by hospital committees or their medical staff. The purpose of the medical study must be to reduce morbidity or mortality, improve patient care, or increase organ and tissue donation. This information and data is privileged and confidential; it is not admissible as evidence nor discoverable in any action of any kind. An institutional review board is considered a hospital committee under the Act. The disclosure of any data or information obtained in any such medical study is unlawful and constitutes a misdemeanor unless disclosure is necessary for the purpose of the study. The consent form should include a disclosure informing the participant that the institutional review board may access and review the participant’s information and data, including to ensure that the research study is done in a safe and appropriate manner.
  - See our Northwestern Consent Templates for required language.

- **The Illinois Mental Health and Developmental Disabilities Confidentiality Act**
  - CIVIL LIABILITIES (740 ILCS 110/) Mental Health and Developmental Disabilities Confidentiality Act.
  - This act governs the use and disclosure of mental health, developmental disabilities, and genetic counseling information. A covered entity cannot disclose this information to a researcher pursuant to a waiver of authorization or consent. A covered entity can however disclose this information as part of a limited data set, to a business associate, or pursuant to a patient’s consent. The consent form should consist of a HIPAA-complaint authorization and include (i) the patient’s right to inspect and copy the information to be disclosed, (ii) a calendar date expiration, and (iii) a witness signature.
  - See our Northwestern Consent Templates for required language.

- **The Illinois Genetic Counselor Licensing Act**
  - PROFESSIONS, OCCUPATIONS, AND BUSINESS OPERATIONS (225 ILCS 135/) Genetic Counselor Licensing Act.
  - This act states that the disclosure of genetic counseling information is subject to the Illinois Mental Health and Developmental Disabilities and Confidentiality Act. In the event of a conflict between these acts, the provisions of the Mental Health and Developmental Disabilities Confidentiality Act shall be followed.

- **The Illinois Genetic Information Privacy Act**
  - PUBLIC HEALTH (410 ILCS 513/) Genetic Information Privacy Act.
  - When using or disclosing genetic-related information under this Act, a covered entity shall do so in accordance with the minimum necessary standard under HIPAA.

- **The Illinois AIDS Confidentiality Act**
  - PUBLIC HEALTH (410 ILCS 305/) AIDS Confidentiality Act.
  - The disclosure of HIV-related information, when allowed by this Act, shall be performed in accordance with the minimum necessary standard when required under HIPAA.

- **The Illinois Nursing Home Care Act**
  - HEALTH FACILITIES AND REGULATION (210 ILCS 45/) Nursing Home Care Act.
Research in nursing homes in the State of Illinois requires additional state approvals. Please note if you are conducting nursing home research outside the State of Illinois you may need additional approvals. Please contact the IRB Office for assistance.

Research Team Qualifications and Training:
- Northwestern University requires all individuals involved in the conduct of human subjects research to complete human subjects protection training and to recertify every three years. More information can be found at: https://irb.northwestern.edu/compliance-education/human-research-protections-training/index.html
- All study team members must be trained on requirements specific to each individual research protocol. The PI retains responsible for overseeing these activities.
- The responsibilities of the Northwestern PI in multi-site studies are outlined in the Investigator Manual (HRP-103) pages 23-25.

Oversight of Compliance:
- The goal of the Compliance Unit within the Northwestern University IRB Office is to enhance the caliber of research performed at Northwestern University and to increase the effectiveness of the university’s Human Research Protection Program (HRPP) through education and compliance initiatives. We accomplish this by ensuring research at Northwestern complies with the federal regulations and institutional policies that govern human research. The program aims to ensure research staff have the educational resources and guidance necessary to successfully conduct research and provide the research community the study support tools and other resources needed to perform compliant research.
- The IRB Office Compliance Unit performs routine post-approval monitoring, directed reviews (for-cause audits), and education/training. The compliance unit conducts these activities across the entire portfolio of non-exempt human subject research, including studies for which the Northwestern University IRB has ceded review to an external IRB.
- More information can be found at: https://irb.northwestern.edu/compliance-education/index.html

FDA Routine Site Visit:
- On February 27, 2018, the Food and Drug Administration (FDA) initiated a routine site visit of Northwestern University’s Institutional Review Board (IRB), which was conducted across seven non-consecutive business days. On March 14, 2018, the FDA Inspector concluded the investigation and conducted a close-out visit. The FDA Investigator issued a FORM FDA 483 (09/08) to the Executive Director of the Northwestern University IRB Office, which listed four observations. The Northwestern University IRB’s response to the Form FDA 483 has been submitted and closed out.

Conflict of Interest Review:
- Northwestern University’s COI Office requires all individuals involved in the conduct of human research to submit financial disclosures at least annually, or more often if they change, through an online tracking system. COI Office activities are integrated into our electronic IRB submission system and must be completed before issuing IRB approval, or IRB acknowledgement for studies ceding review to an external IRB. The COI Office conducts these activities across the entire portfolio of non-exempt human subject research including those projects for which the Northwestern University IRB has ceded review to an external IRB. More information can be found at: https://www.northwestern.edu/coi/
Ancillary Reviews:
- Ancillary reviews are conducted outside of the purview of the IRB Office. Please refer to the Northwestern study team for study-specific details.

Research with Non-English Speaking Individuals:
- Participants who have limited or no English proficiency may be enrolled in research studies provided study teams have resources to communicate effectively during the recruitment process, while obtaining consent, and for the duration of the study. More information can be found at: https://irb.northwestern.edu/resources-guidance/consent-templates-hipaa-requirements/short-forms/index.html

Research with Children:
- The age of majority in Illinois is 18. Guidance on research with children can be found at: https://irb.northwestern.edu/resources-guidance/policies-guidance/index.html
- Language involving pregnancy testing in minors can be found in the Northwestern consent templates: https://irb.northwestern.edu/resources-guidance/consent-templates-hipaa-requirements/biomedical-social-behavioral-consent-templates/index.html

Research Involving Legally Authorized Representatives, Children, and Guardians:
- More information can be found in the Northwestern SOP “HRP-013 Legally Authorized Representatives, Children, and Guardian”: https://irb.northwestern.edu/resources-guidance/sops.html

Research Involving Consent of Those with Impaired Decision-Making Capacity:
- More information can be found in the Northwestern checklist “HRP-417 Cognitively Impaired Adults”: https://irb.northwestern.edu/resources-guidance/checklists-worksheets/index.html

Data Security Policies from Feinberg School of Medicine:
- https://www.feinberg.northwestern.edu/it/policies/information-security/index.html

Institutional Contacts:
Requests for signature by institutional contacts should be submitted in eIRB+ so the Northwestern IRB Office can determine the appropriate signatory.

- **Institutional Official for Research**
  - **Name:** Crista Brawley, PhD, CCRP
  - **Position:** Associate Vice President of Research, Office of Research, Northwestern University
  - **Mailing Address:** 750 N. Lake Shore Drive; Rubloff, 7th Floor, Chicago, IL 60611
  - **Email:** crista.brawley@northwestern.edu
  - **Phone:** 312-503-1686

- **IRB Executive Director**
  - **Name:** Nathalia Henry Whitely, MS, CIP, CHRC
  - **Position:** Executive Director, IRB Office, Northwestern University
  - **Mailing Address:** 750 N. Lake Shore Drive; Rubloff, 7th Floor, Chicago, IL 60611
  - **Email:** nhenry@northwestern.edu
  - **Phone:** 312-503-2578
• **Reliance Contact**
  
  **Name:** Marcella Cooks, MS, CIP  
  **Position:** IRB Reliance and Education Lead, IRB Office, Northwestern University  
  **Mailing Address:** 750 N. Lake Shore Drive; Rubloff, 7th Floor, Chicago, IL 60611  
  **Email:** irbreliance@northwestern.edu  
  **Phone:** 312-503-6071

• **IRB Panel Chair**
  
  **Name:** Maureen Moran, MPH  
  **Position:** IRB Chair of Panel Q, Assistant Professor of Preventive Medicine, Northwestern University  
  **Mailing Address:** 750 N. Lake Shore Drive; Rubloff, 7th Floor, Chicago, IL 60611  
  **Email:** m-moran@northwestern.edu  
  **Phone:** 312-503-0500

• **Quality Improvement Contact**
  
  **Name:** Piper Hawkins-Green, MS, CIP  
  **Position:** IRB Compliance Manager, IRB Office, Northwestern University  
  **Mailing Address:** 750 N. Lake Shore Drive; Rubloff, 7th Floor, Chicago, IL 60611  
  **Email:** irbcompliance@northwestern.edu  
  **Phone:** (312) 503-7929