



## Certificate of Confidentiality Application Instructions

To apply for a Certificate of Confidentiality from the Food and Drug Administration (FDA) under the Section 301(d) of the Public Health Service Act (42 U.S.C. 241 (d)) to protect against involuntary disclosure of the identities of research subjects, please direct a letter to the following address:

**Attention: Anthony Hawkins**  
FDA/CBER/Office of Compliance and Biologics Quality  
10903 New Hampshire Avenue  
Building 71, Room 5132  
Silver Spring, MD 20993-0002  
Telephone (240) 402-8950

Please furnish the following information with your letter including the numbering scheme shown.

1. Investigational New Drug (IND) number
2. Drug name
3. Name and address of IND sponsor (Holder of the IND).
  - For all non-U.S. sponsors, provide the complete contact information for the U.S. Representative for the sponsor of the IND.
  - If the applicant is not the holder of the IND, please attach the signed Form FDA 1572 provided to the IND sponsor and have the IND sponsor provide documentation showing the applicant is the authorized investigator for the study.
4. Name of entity (e.g., investigator, university, center, manufacturer, etc.) requested as holder of the Certificate of Confidentiality.
5. Concise description of the study aims and research methodology; include number, source and description of the human subjects.
6. Reasons for requiring confidentiality.
7. Means used to protect subjects' identities (e.g., coded by number, kept in locked files).
8. Assurances of the following:
  - (a) that for all projects conducted under a FDA investigational exemption (Investigational New Drug Application), all personnel involved with the conduct of the research will comply with the human subject protection requirements of 21 CFR Parts 50, 56, and 312, and that personnel involved in the conduct of the research supported by grants from the Department of Health and Human Services (DHHS) will comply with all the requirements of 45 CFR part 46 "Protection of Human Subjects;"
  - (b) that the Certificate of Confidentiality will not be represented as an endorsement of the project by the FDA or the DHHS or used to coerce individuals to participate in the research project;
  - (c) that the recipient of the Certificate of Confidentiality will use the vested authority to protect the identity of research subjects;
  - (d) that all subjects be informed that a certificate has been issued and that subjects will be provided with a description of the protection covered by the certificate; and
  - (e) that subjects who enter the project after termination of the certificate will be informed of the termination.

The individual(s) primarily responsible for the conduct of the research must sign the letter requesting the Certificate of Confidentiality.

The Certificate of Confidentiality does not govern a disclosure for which the subject gives permission or a researcher's voluntary disclosure of the identifying characteristics of research subjects, but only protects subjects from compelled disclosure of identifying characteristics. For example, a researcher is not prevented from making voluntary disclosure of personally identifiable information related to child abuse or a subject's threatened violence to self or others. However, if a researcher expects to make such voluntary disclosures, the consent form should clearly indicate this [21 CFR 50.25(a)(5)]. The Certificate of Confidentiality also does not govern disclosure of study information without personal identifiers.

We will process your request as rapidly as possible. However, we may delay further processing including the issuance of your certificate if you do not furnish all of the above requested information, as part of your letter. Please do not hesitate to contact me, Anthony Hawkins, at (240) 402-8950 or email [anthony.hawkins@fda.hhs.gov](mailto:anthony.hawkins@fda.hhs.gov), if you have any questions.