

Health Care Privacy Compliance Handbook, 3rd Edition

4—Appendix G: Sample Tracking Form for Accountings of Research Disclosures (50 or More Individuals)

Instructions: Use this form to track disclosures to an individual or entity *outside of [Covered Entity]* of protected health information (PHI) for purposes of research where individual participant HIPAA authorization is not obtained. For example, this form must be used when PHI is disclosed:

- Preparatory to research
- Pursuant to an Institutional Review Board waiver of HIPAA authorization

Number of Individuals Affected by Disclosure _____

Date or Date Range of Disclosure _____

Research Sponsor Name _____

Research Sponsor Address _____

Research Sponsor Telephone _____

Recipient Researcher Name _____

Recipient Researcher Address _____

Recipient Researcher Telephone _____

Name of Research Protocol or Activity _____

Description of Research Protocol or Activity

Purpose of the Research

Criteria for Selection of Particular Records

Description of PHI Disclosed

Purpose of Disclosure (may attach a copy of Institutional Review Board research approval)

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