



DEPARTMENT OF THE NAVY
OFFICE OF THE CHIEF OF NAVAL OPERATIONS
2000 NAVY PENTAGON
WASHINGTON, D.C. 20350-2000

IN REPLY REFER TO

3900
Ser M00RP/12UM00RP227
9 Jul 2012

Department of Defense – Navy Addendum
to the Federalwide Assurance for the
Protection of Human Research Subjects

DoD-Navy FWA Addendum: DoD N-A3060

Expiration Date: 24 February 2017

Institution: University of Southern California

The application for the Department of Defense - Navy Addendum to the Federalwide Assurance, FWA00007099, held by the University of Southern California, is approved.

In accordance with the signed Addendum, the University of Southern California and the Institutional Review Board (IRB) listed in the Addendum or in the associated Institutional Agreement(s) for IRB Review, agree to abide by the Department of Defense's and the Department of the Navy's regulations and policies for the protection of human research participants when conducting, reviewing, approving, overseeing, supporting, or managing Navy-supported research with human subjects.

Communications regarding this Addendum should be addressed to:

Bureau of Medicine and Surgery
Office of Research Protections (M00RP)
7700 Arlington Blvd, Ste 5121
Falls Church, VA 22042-5121
Telephone: 703-681-9629, Fax: 703-681-2597
Email: human.research@med.navy.mil

A handwritten signature in black ink, appearing to read "M. L. Nathan".

M. L. NATHAN
Vice Admiral, Medical Corps
United States Navy
Surgeon General of the Navy

Attachment:

University of Southern California DoD-Navy FWA Addendum application dtd 10 May 2012

**Department of Defense
Department of the Navy
Human Research Protection Program**

**DEPARTMENT OF DEFENSE (DOD)-DEPARTMENT OF THE NAVY (DON) ADDENDUM
TO THE DEPARTMENT OF HEALTH AND HUMAN SERVICE'S FEDERALWIDE
ASSURANCE (FWA) FOR THE PROTECTION OF HUMAN SUBJECTS**

This Addendum is for non-DoD Institutions that already have an FWA and will be conducting or collaborating in DoD-DON supported human subject research.

**Part 1
INSTITUTION INFORMATION**

A. Purpose of DoD-DON Addendum:

- New
- Renewal for DoD-DON Addendum Number: DOD-NA3060
- Update for DoD-DON Addendum Number:
DoD-DON Addendum Expiration Date: 6/24/2012

B. Institution Information:

Name: University of Southern California
Mailing Address: 3720 South Floyer Street CUB # 301, Los Angeles, CA 90079-07002
Department of Health and Human Services (DHHS) FWA Number: FWA00007099
FWA Expiration Date: 2/24/2017

C. Scope:

This Addendum applies to all DoD-DON supported research protocols performed by this Institution.

D. Effective Date:

This Addendum is effective as of the date the approval document is signed by the Navy Surgeon General and expires on the date listed in the approval document.

Part 2
DEPARTMENT OF DEFENSE (DOD) REGULATIONS AND GUIDANCE

This institution assures it shall comply with the following laws, regulations, and guidance when conducting, reviewing, approving, overseeing, supporting, or managing DoD-supported research with human subjects:

- The Belmont Report
- Title 32 Code of Federal Regulations Part 219 (32 CFR 219), Department of Defense Regulations, "Protection of Human Subjects"
- Title 45 Code of Federal Regulations Part 46, (45 CFR 46) Department of Health and Human Services Regulations, "Protection of Human Subjects," Subparts B, C, and D as made applicable by DoDD 3216.02
- Title 21 Code of Federal Regulations 50, 56, 312, and 812, Food and Drug Administration (FDA) Regulations
- DoD Directive (DoDD) 3216.02, "Protection of Human Subjects and Adherence to Ethical Standards in DoD-supported Research"
- Title 10 United States Code Section 980 (10 USC 980), "Limitation on Use of Humans as Experimental Subjects"
- DoDD 3210.7, "Research Integrity and Misconduct"
- DoDD 6200.2, "Use of Investigational New Drugs in Force Health Protection"

Part 3
DOD COMPONENT SPECIFIC REQUIREMENTS

Department of the Army

- AR 70-25 Use of Volunteers as Subjects of Research, 25 January 1990
- AR 40-38, Clinical Investigation Program, 1 September 1989
- AR 40-7, Use of Investigational Drugs in Humans and the Use of Schedule I Controlled Drug Substances, 4 January 1991

Department of the Navy

- SECNAVINST 3900.39D of 6 November 2006

Department of the Air Force

- Air Force Instruction 40-402, Protection of Human Subjects in Research

Office of the Secretary of Defense for Personnel and Readiness

- HIA Policy 05-003

National Geospatial Intelligence Agency

National Security Agency

Defense Intelligence Agency

Defense Threat Reduction Agency

Defense Advanced Research Projects Agency

United States Joint Forces Command

Part 4 INSTITUTION RESPONSIBILITIES

Some of the responsibilities of the Institutional Official, IRB, and Investigators are identified below. The complete list of requirements for compliance is provided above in Part 2, DoD Regulations; Part 3, DoD Component Specific Requirement; and Guidance and in the Institution's FWA. The regulations and guidance identified in Part 2 and 3 address such matters as:

- Initial and continuing research ethics education and for all personnel who conduct, review, approve, oversee, support, or manage human subject research
- Written determination by a designated institutional official (other than investigators) whether research meets criteria for exemption
- New research and substantive amendments to approved research shall undergo scientific review prior to ethics (IRB) review
- Additional protections for military research subjects to minimize undue influence
- Provisions for research-related injury
- Requirements for reporting unanticipated problems, adverse events, and research-related injury
- Appointment of a Medical Monitor
- Additional safeguards for research conducted with international populations
- Additional protections for pregnant women, prisoners, and children
- Limitations on research where consent by legally authorized representatives is proposed
- Limitation on exceptions from informed consent in emergency medicine research
- Limitations on dual compensation for U. S. military personnel
- Additional review for DoD-sponsored survey research or survey research within DoD
- Addressing and reporting allegations of non-compliance with human research protections
- Addressing and reporting allegations of research misconduct
- Procedures for addressing conflicting and competing interests
- Prohibition of research with prisoners of war (POW) and detainees
- Provisions for research with human subjects using investigational test articles (drugs, device, and biologics)
- Recordkeeping requirements
- Oversight by the sponsoring DoD Component (which may include DoD Component review of the research and site visits)

Part 5
DESIGNATION OF INSTITUTIONAL REVIEW BOARDS (IRB) THAT WILL REVIEW
DoD-DON-SUPPORTED RESEARCH

A. Institutional IRB(s)

Table 1 identifies the IRB(s) associated with this Institution that will or may review DoD-supported research under this Addendum to the FWA.

For each IRB listed below, the IRB Chair(s) must sign and list the corresponding IRB number(s) in Part 6 of this Institutional Agreement.

Table 1. Institutional IRB(s)

Institutional Name or Number of IRB	DIHS IRB Registration Number
1. University of Southern California # 1. Socio-behavioral IRB	IRB0000387
2. University of Southern California IRB # 1	IRB00000484
3. University of Southern California IRB # 2	IRB00002880
4. University of Southern California IRB # 3	IRB00002881

B. IRB(s) not Part of this Institution

Table 2 (if applicable) identifies any IRBs that are not associated with this Institution but will or may review DoD-supported research under this Addendum to the FWA.

For each IRB listed in Table 2, the DoD Institutional Agreement for IRB Review must be attached to this Addendum to the FWA.

Table 2. DoD or non-DoD IRB(s) not Part of this Institution

Name of Institution	DoD Assurance Number	Name or Number of IRB	DIHS/FWA Number	DIHS IRB Registration Number
1.				
2.				
3.				
4.				
5.				
6.				

Part 6
INSTITUTIONAL AGREEMENT

Official Legally Authorized to Represent the FWA Institution (i.e., signed the FWA)

Acting in an authorized capacity on behalf of this Institution and with an understanding of the Institution's responsibilities under my FWA and this Addendum, I assure protections for human subjects as specified above.

Signature:



Date:



Name: Randolph W. Hall, Ph.D.

Institutional Title: Vice President of Research

Telephone number: 213-740-6709

FAX number: 213-740-8919

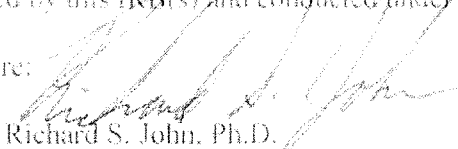
Mailing Address: 3720 South Flower Street, 3rd floor CUB (Room 325) Los Angeles, CA 90079-0706

Email address: rwHall@usc.edu

Chair(s) of the IRB(s) that will Review DoD-DON Supported Research on behalf of the FWA Institution

Acting in an authorized capacity on behalf of this Institution's IRB(s) and with an understanding of the Institution's responsibilities under its FWA and this Addendum, I assure protections for human subjects as specified above. As Chair of the IRB(s), I shall provide oversight for all research approved by this IRB(s) and conducted under this Addendum.

Signature:



Date:



Name: Richard S. John, Ph.D.

For IRB #(s): IRB00000387

Institutional Title: UPIRB Chair - Associate Professor of Psychology

Telephone number: 213-821-5272

FAX number: 213-821-5276

Mailing Address: 3720 South Flower Street, 3rd floor CUB # 301 Los Angeles, CA 90079-0702

Email address: richardj@usc.edu

Signature:



Date:



Name: Darcy Spicer, M.D.

For IRB #(s): IRB00000484, IRB00002880, IRB00002881

Institutional Title: HSIRB Chair - Associate Professor of Clinical Medicine - Oncology

Telephone number: 323-276-2233

FAX number: 323-224-8389

Mailing Address:

Health Sciences IRB

General Hospital, Suite 4700

1200 North State Street

Los Angeles, CA 90033

Email address: dpicer@usc.edu

Note: Each IRB Chair of an IRB reviewing research under this Addendum shall sign and provide the requested information above

Primary Contact - Human Research Protection of the FWA Institution

Signature:



Date:



Name: Kristin J. Craun, MPH, CIP

Institutional Title: Director of UPIRB

Telephone number: 213-821-5272

FAX number: 213-821-5276

Mailing Address: 3720 South Flower Street 5th floor CUB # 301 Los Angeles, CA 90079-0702

Email address: kristijc@usc.edu