

New Filing       Update or Renewal for FWA Number: \_\_\_\_\_

**U.S. Department of Health and Human Services (DHHS)  
Federalwide Assurance (FWA) for the Protection of Human Subjects  
For Domestic (U.S.) Institutions**

**1. Institution Filing Assurance**

Legal Name:                      RAND

City: Santa Monica                                      State: CA 90407-2138

DHHS Institution Profile File (IPF) code, if known:

Federal Entity Identification Number (EIN), if known:

If this Assurance replaces an MPA or CPA, please provide the "M" or "T" number:    M1031

**2. Institutional Components**

List below all components over which the Institution has legal authority that operate under a different name. Also list with an asterisk (\*) any alternate names under which the Institution operates. The Institution should have available for review by the Office for Human Research Protections (OHRP) upon request a brief description and line diagram explaining the interrelationships among the Assurance Signatory Official, the Institutional Review Board (IRB), IRB support staff, and investigators in these various components.

NOTE: The Signatory Official signing this Assurance must be legally authorized to represent the Institution providing this Assurance and all components listed below. Entities that the Signatory Official is not legally authorized to represent may not be listed here without the prior approval of OHRP.

Please check here if there are no additional components or alternate names.

Name of Component or Alternate Names Used	City	State (or Country if Outside U.S.)

**3. Statement of Principles**

This Institution assures that all of its activities related to human subject research, regardless of funding source, will be guided by the ethical principles in the following document(s). (*indicate below*)

*The Belmont Report*

*Other (please submit copy to OHRP with this Assurance)*

4. Applicability

(a) This Institution assures that all of its activities related to federally-conducted or -supported human subject research will comply with the Terms of Assurance for Protection of Human Subjects for Institutions Within the United States. NOTE: The Terms of Assurance are contained in a separate document on the OHRP website.

(b) *Optional:* This Institution elects to apply the following to all of its human subject research regardless of source of support:

- 45 CFR 46 and all of its subparts (A,B,C,D)  
 Common Rule (e.g., 45 CFR 46, subpart A)

5. Designation of Institutional Review Boards (IRBs)

This Institution designates the following IRB(s) for review of research under this Assurance (if the IRB is not previously registered with DHHS or has not provided a membership roster to DHHS, please attach the appropriate IRB registration materials available on the OHRP website).

NOTE: Reliance on another institution's IRB or an independent IRB must be documented by a written agreement that is available for review by OHRP upon request. OHRP's sample IRB Authorization Agreement may be used for this purpose, or the institutions involved may develop their own agreement. Future designation of other IRBs requires update of the FWA.

DHHS IRB Registration Number	Name of IRB As Registered with DHHS
IRB0000051	RAND CORP IRB #1

6. Human Protections Administrator (e.g., Human Subjects Administrator or Human Subjects Contact Person)

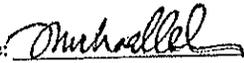
First Name: Marilyn Middle Initial: B. Last Name: Yokota  
Degrees or Suffix (e.g., MD, PhD): BA Institutional Title: Unit Administrator  
Institution: RAND  
Telephone: 310-393-0411, ext. 6369 FAX: 310-393-4818 E-Mail: yokota@rand.org  
Address: P.O. Box 2138  
City: Santa Monica State: CA Zip Code: 90407-2138

**7. Signatory Official (i.e., Official Legally Authorized to Represent the Institution -- cannot be IRB Chairperson or IRB member)**

*I understand that the Assurance Training Modules on the OHRP website describe the responsibilities of the Signatory Official, the IRB Chair(s), and the Human Protections Administrator under this Assurance. Additionally, I recognize that providing all research investigators, IRB members and staff, and other relevant personnel with appropriate initial and continuing education about human subject protections will help ensure that the requirements of this Assurance are satisfied.*

Acting officially in an authorized capacity on behalf of this Institution and with an understanding of the Institution's responsibilities under this Assurance, I assure protections for human subjects as specified above. The IRB(s) designated above are to provide oversight for all research conducted under this Assurance. These IRB(s) will comply with the Terms of Assurance and possess appropriate knowledge of the local context in which this Institution's research will be conducted. I understand that all collaborating institutions engaged in federally-conducted or -supported human subject research must submit their own Assurance.

All information provided with this Assurance is up to date and accurate. *I am aware that false statements could be cause for invalidating this Assurance and may lead to other administrative or legal action.*

Signature:  Date: 9/23/02

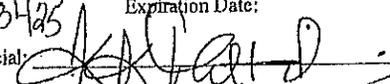
First Name: Michael Middle Initial: D. Last Name: Rich  
Degrees or Suffix (e.g., MD, PhD): JD Institutional Title: Executive Vice President  
Telephone: 310-393-0411, ext. 6934 FAX: 310-393-4818 E-Mail: mrich@rand.org  
Address: P.O. Box 2138  
City: Santa Monica State: CA Zip Code: 90407-2138

NOTE: Facilities operated by the U.S. Government may require Department or Agency clearance. Please contact the relevant Department or Agency Human Protections Officer before forwarding this Assurance to OHRP.

**8. DHHS Approval**

The Federalwide Assurance of Protection for Human Subjects submitted to DHHS by the above Institution is hereby approved.

Assurance Number FWA 00003425 Expiration Date:

Signature of DHHS Approving Official:  Date: 9/30/2002

**Kamal K. Mittal, D.V.M.; Ph.D.**  
Division of Assurances and Quality Improvement  
Office for Human Research Protections (OHRP)  
1101 Wootton Parkway, Suite 200  
Rockville, MD 20852  
Phone: (301) 402-5971; Fax: (301) 402-0527  
Email: kmittal@osophs.dhhs.gov

Human Subjects Protection Committee  
February 25, 2005

Name	Status	Discipline	Research Areas
Susan Adler	Regular	Library Science	
Ross Anthony	Alternate	Economics	Health economics; health care finance; military health care; international health care and economic development.
Steven Asch	Alternate	Medicine	Quality of care measurement and improvement; HIV care
Sandy Berry	Alternate	Social Science	Data collection, including sensitive data; data from adolescents and other special populations; data on risk behavior
Tora Kay Bikson	Regular (Chair)	Cognitive/Social Psychology	Information networking; organizational psychology; implications of technology for organizations; diffusion of innovation
Chloe Bird	Alternate	Medical Sociology	Social disparities in health and healthcare; gender; work and family; mental health; social determinants of health; aging
Ricky Bluthenthal	Regular	Medical Sociology	HIV prevention for substance abusers; HIV and hepatitis epidemiology; public health policy; qualitative research methods; inequality and health outcomes; race, poverty, and infectious disease spread; illicit drug use; drug enforcement policy
Laura Castaneda	Alternate	Organizational Behavior	Military manpower and personnel; military quality of life; civilian workforce attitudes and behaviors; arts education
Rebecca Collins	Regular	Social Psychology	Social factors in risk prevention; HIV and substance-use prevention; media effects on health behavior; adjustment to illness
Christopher Corey	Alternate	Survey Research Technology	
Elizabeth D'Amico	Regular	Clinical Psychology	Adolescent and young adult risk-taking behavior and intervention
Rick Eden	Regular	English/Communications	Military logistics
Allen Fremont	Regular	Medicine	Quality of care; social disparities in care; patient-centered care;

			psychosocial factors and disease; medical sociology
Susan Gates	Regular	Economics	Applications of economic management principles to public sector organizations; defense economics; economics of education (primary, secondary and post-secondary); child care
Patrick Gunn	Regular	Law	
Laura Hickman	Alternate	Criminology	Violence and victimization; crime prevention; sentencing and corrections; inter-agency collaboration
Susan Hosek	Alternate	Economics	Managed care; military healthcare; financing of healthcare; equal opportunity; employment benefits
Peter Jacobson	Regular	Law/Public Health	Health law and policy; public health law and policy
David Kanouse	Alternate	Social Psychology	Risk reduction behaviors; information and health decisionmaking; HIV-related services research
Thomas Lincoln	Regular	Medicine, Pathology	Medical Informatics; medical records; laboratory medicine; mark-up languages
Karl Lorenz	Alternate	Medicine	Palliative care and chronic disease; healthcare organization; quality of care
Nicole Lurie	Alternate	Medicine	Health services; vulnerable populations; quality of care; disparities; public health
Rodger Madison	Alternate	Sociology/ Information Systems	Health care quality and delivery; military training; computer and communications network security
Alan Mobley	Alternate (Prisoner Representative)	Criminology, Socio-Legal Studies	Prisoner reentry; prison privatization; qualitative research methods
Andrew Morral	Alternate	Behavioral/ Clinical Psychology	Drug abuse treatment; adolescent substance use; treatment in criminal justice settings
Bruce Orvis	Alternate	Social Psychology	Military recruitment; staffing
Larry Pipes	Regular (Non-Affiliated)	Management	
Fredrick Ruf	Regular (Prisoner Representative)	Media, Public Affairs	

Brian Stecher	Regular	Education	Teaching practice; developing and evaluating new forms of assessment and testing; educational accountability
Michael Stoto	Regular	Statistics, Health	Research synthesis; epidemiology; surveillance; performance measurement; regional health data; public health; health policy
Stephanie Teleki	Alternate	Health Services Research and Policy	Health care quality; consumer and physician behavior; insurance/access to care; prescription drugs
Michael Traynor	Alternate	Law	
Roberto Vargas	Alternate	Medicine	Quality of care; health disparities; minority health; diabetes; Medicaid policy
Dennis Flieder	Ex-Officio	Associate Director, Office of Contract and Grant Services	
Lynn Karoly	Ex-Officio	Director, Research Quality Assurance	