



Submission Number: 19490
FWA Number: FWA00003831

1/30/2009 11:23:39 AM

Institution Name: TRUSTEES OF COLUMBIA U IN THE CITY OF NEW YORK (THE)
OMB No. 0990-0278
Approved for use through 1/31/2008

**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: TRUSTEES OF COLUMBIA U IN THE CITY OF NEW YORK (THE)
City: NEW YORK State: NY

DHHS Institutional Profile Code:

Federal Entity Identification Number (EIN): 13-5598093

This Assurance replaces:

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.

Name of Component or Alternate Names Used	City, State (or Country if Outside U.S.)
LAMONT-DOHERTY EARTH OBSERVATORY	NEW YORK, NY
EARTH INSTITUTE	NEW YORK, NY

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3. Statement of Principles

This Institution assures that all of its activities related to human subjects research, regardless of funding source, will be guided by the ethical principles in the following documents:

THE BELMONT REPORT

4. Applicability:

(a) This Institution assures that whenever it engages in human subjects research conducted or supported by any federal department or agency that has adopted the Federal Policy for the Protection of Human Subjects, known as the Common Rule, the Institution will comply with the Terms of the Federawide Assurance for Institutions Within the United States (contained in a separate document on the OHRP website), unless the research is otherwise exempt from the requirements of the Common Rule or a department or agency conducting or supporting the research has determined that the research shall be covered by a separate assurance.

(b) Optional: This Institution elects to apply the following to all of its human subjects research regardless of the source of support, except for research that is covered by a separate assurance:

The Common Rule and subparts B, C, and D of the HHS regulations at 45 CFR part 46

5. Designation of Institutional Review Boards (IRBs)

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

NOTE: Reliance on the IRB of another Institution or organization 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 parties involved may develop their own agreement. Future designation of other IRBs requires an update of the FWA.

HHS IRB Registration Number	Name of IRB As Registered with HHS
IRB0000481	COLUMBIA U, CUMC IRB #1
IRB00002873	COLUMBIA U, CUMC IRB #2
IRB00003508	COLUMBIA U, CUMC IRB #3
IRB00006789	COLUMBIA U, MORNINGSIDE IRB
IRB00008682	COLUMBIA U, CUMC IRB #4

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

First Name: GEORGE

Middle Initial:

Last Name: GASPARIS

Degrees or Suffix (e.g., MD, PhD):

Institutional Title: EXECUTIVE DIRECTOR, CU IRB

Institution: COLUMBIA UNIVERSITY OF THE CITY OF NEW YORK

Telephone: (212) 305-3257

FAX: (212) 305-1316

E-mail: GG2120@COLUMBIA.EDU

Address: 722 W. 168TH STREET

ROOM 426

City: NEW YORK

State: NY

Zip Code: 10032

NOTE: Institutions operated by the U.S. Government may need to obtain department or agency clearance prior to submission of the FWA to OHRP. Please contact the relevant department or agency Human Subject Protections Officer before forwarding this Assurance to OHRP.

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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 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 review for all research to which this Assurance applies. The designated IRB(s) will comply with the Terms of the Federalwide Assurance for Institutions Within the United States and possess appropriate knowledge of the local context in which this institution's research will be conducted.

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: 1-30-09
David Hirsh

First Name: DAVID Middle Initial: Last Name: HIRSH
Degrees or Suffix (e.g., MD, PhD): PH.D. Institutional Title: EXECUTIVE VICE PRESIDENT FOR RESEARCH
Institution: COLUMBIA UNIVERSITY OF THE CITY OF NEW YORK
Telephone: (212) 854-1656 FAX: (212) 854-1680 E-mail: DH1@COLUMBIA.EDU

Address: 313 LOW MEMORIAL LIBRARY
535 W. 116TH STREET MC 4310

City: NEW YORK State: NY Zip Code: 10027

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8. FWA Approval

The Federatwide Assurance for the Protection of Human Subjects for Institutions Within the United States submitted to HHS by the above institution is hereby approved.

Assurance Number:

Expiration Date:

Signature of HHS Approving Official: _____ Date: _____

Public burden for this collection of information is estimated to average two hours for a new FWA filing and less than an hour for an FWA renewal or update. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to: OS Reports Clearance Officer, Room 503, 200 Independence Avenue, SW., Washington, DC 20201. Do not return the completed form to this address.

Subject: Electronic Update/Renewal of FWA Application for Trustees of Columbia U in the City of New York (The) Approved by OHRP as FWA00003831

From: <hblatt@osophs.dhhs.gov>

Date: Fri, 6 Feb 2009 10:55:29 -0500

To: <vo41@columbia.edu>, <dih1@columbia.edu>, <gg2120@columbia.edu>

CC: <hblatt@osophs.dhhs.gov>

This is an automated message from an unmonitored address. Please do not reply.

Your institution's electronic submission for the update/renewal of its Federalwide Assurance FWA00003831 has been approved by the Office for Human Research Protections (OHRP). The expiration date for your FWA renewal is 2/6/2012. You will find this approval listed on our website at <http://ohrp.cit.nih.gov/search/asearch.asp#ASUR>. Funding agencies use this website to verify that an institution holds an active OHRP-approved FWA.

Whenever information provided to OHRP changes for your institution's FWA, you must submit an update/renewal. You may do this electronically by going to the OHRP Electronic Submission System at <http://ohrp.cit.nih.gov/efile/>. Your FWA must be renewed at least every 3 years.

Effective February 1, 2005, OHRP stopped mailing copies of approved Federalwide Assurance (FWA) documents to filing institutions. This was necessitated by the volume of FWA documents OHRP is managing. Over 10,000 FWAs have been approved. OHRP encourages FWA institutions to continue to submit documents (new and updates/renewals) electronically (<http://ohrp.cit.nih.gov/efile/>). When an electronic submission is processed, an automatically generated e-mail notifies the Human Protections Administrator and Signatory Official, as well as the person submitting the electronic record, that the FWA document has been approved. This, of course, is dependent upon the electronic file submitted to OHRP providing e-mail addresses as requested.

Sincerely,

Division of Policy and Assurances
Office for Human Research Protections
U.S. Department of Health and Human Services
1101 Wootton Parkway, Suite 200
Rockville, MD 20852
(240) 453-6900
Toll-Free within the U.S. (866) 447-4777