OHSR RESPONSE TO REQUEST FOR REVIEW OF RESEARCH ACTIVITY
INVOLVING HUMAN SUBJECTS

FAX:

Exempt: #: 4980

To: Hasenkrug, Kim
NIAID
RML - Rocky Mountain Laboratories, 3/218

From: Office of Human Subjects Research (OHSR)

Nature of Research Activity:
Recent reports have demonstrated that immunodeficient mice reconstituted with 17-19 week old human fetal tissue develop a human immune system and are susceptible to HIV infection and disease. The goal of this project proposal is to create such humanized mice to study the role of immune cell subsets and virus-neutralizing antibodies in vaccine protection. The experiments will entail the development of a cohort of mice all reconstituted with the same human cells so as to be histocompatible. This will require transplantation of

Original Request Received in OHSR on: 11/19/2009

Responsible NIH Research Investigator(s): Kim Hasenkrug, NIAID

OHSR review of your request dated Thu, Nov 19, 2009 has determined that:

☒ Federal regulations for the protection of human subjects do not apply to above named activity. The OHSR determination of Not Human Subjects Research is based on the interpretation of 45 CFR 46 under "Research Involving Coded Private Information or Biological Specimens" (OHRP, Revised October 16, 2008) and Guidance on Engagement of Institutions in Human Subjects Research (October 16, 2008). NOTIFY OHSR VIA AN E-MAIL AMENDMENT OF ANY CHANGES THAT MAY ALTER THIS RESEARCH ACTIVITY.

☐ The activity is designated **EXEMPT**, and has been entered in the OHSR database. PLEASE NOTIFY OHSR OF ANY **SIGNIFICANT** CHANGES THAT MAY ALTER THE EXEMPT STATUS OF THIS RESEARCH ACTIVITY.

☐ **NOT EXEMPT**. OHSR recommends IRB review. Please forward your request to the Chair of your IRB, who may ask you to provide additional information in order to determine whether expedited or full review is appropriate.

☐ Confidentiality Agreement

☐ Reliance

☐ Amendment

☐ Other

Office Person LB Admin Assist. CB

Note:
(b)(6)

CIP

for Charlotte Holden, JD — Acting Director, OHSR — 12/14/2009
Signature — Title — Date

Domestic/International:
Domestic

Human Subjects Data: Yes
Biologic Material: Yes

OHSR Use Only
☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ 6

#4980

REQUEST FOR REVIEW OF RESEARCH ACTIVITY INVOLVING HUMAN SUBJECTS

INSTRUCTIONS: Please type directly on this form. You can expand the document if you need more space. If your research involves a survey or questionnaire, please attach it to this completed form.

Completed forms (with all required signatures) may be sent to OHSR by FAX (301-402-3443), email to ohsr_nih_ddir@od.nih.gov, or by mail (2C146). If you have any questions, call OHSR at (301) 402-3444.

Date: 11/19/2009

To: OFFICE OF HUMAN SUBJECTS RESEARCH, Building 10, Room 2C-146

From: Kim J Hasenkrug
(Signature)

Through: (b)(6) (acting)
(Signature of appropriate Official for IC, e.g., Lab/Branch Chief)

Protocol Title: Study of HIV infection and vaccine protection in mice reconstituted with a human immune system

Name of NIH Principal Investigator(s): Kim J Hasenkrug, Senior Investigator

IC NIAID Laboratory/Branch LPVD Building & Room No. RML 3218
Tel. No. 406-363-9310 FAX No. 406-363-9286
Is the Principal investigator an NIH employee? x **Yes** ____ **No**

If no, please explain: ____

1. What is the proposed research activity that you intend to perform at NIH (please use lay terms):
Recent reports have demonstrated that immunodeficient mice reconstituted with 17-19 week old human fetal tissue develop a human immune system and are susceptible to HIV infection and disease. The goal of this project proposal is to create such humanized mice to study the role of immune cell subsets and virus-neutralizing antibodies in vaccine protection. The experiments will entail the development of a cohort of mice all reconstituted with the same human cells so as to be histocompatible. This will require transplantation of the mice with 1 mm^3 pieces of fetal thymus as well as reconstitution with stem cells isolated from cord blood and liver. Once the humanized mice have been established some will be vaccinated to prime distinct subsets of immune cells. Immune cell subsets from vaccinated mice will be adoptively transferred into naïve mice, which will then be infected with HIV to

test the antiviral activity of the immune cells. The goal of these experiments is to establish correlates of immunity against HIV.

2. If applicable, list your non-NIH Collaborating Investigator(s).

Name Institution Address Tel. # FAX #

3. Proposed start date of your research __April, 2010_____
Proposed completion date _April, 2013_____

4. Will you be _____these samples or data?

Collecting Yes/(No)
Receiving (Yes)/No
Sending Yes/(No)

5. Do the samples or data:
(a) Already exist?___Yes _x__No

(b) Or are they being collected for the express purpose of this study? _X__Yes __No
If "yes," please describe:_

17-19 week fetal cells and tissue will be obtained from Advanced Bioscience Resources, Inc., a non-profit foundation established under California law to provide biomedical researchers access to human tissues in compliance with state, federal, and NIH guidelines. Consent to donate is obtained in accordance with UAGA and NOTA guidelines. Related documents including the consent form are attached._____

(c) Or a combination of (a) and (b)? ____Yes _____No

6. What role will you have in this research project? (Check all that apply)

___ Analyze samples/data only.

___ Consultant/advisor to collaborator(s) listed above.

___ Author of the protocol that is being implemented by your collaborating investigator (identified in question #2).

___ Co-authorship on publication(s)/manuscript(s) pertaining to this research.

___ You or NIH hold an IND for this research.

__X_ Decisional authority over the design or implementation of the research at the IRB approved site? If so, please explain.

I am the PI and lead investigator on this project which will take place in my laboratory and the animal care facilities at Rocky Mountain Labs, NIAID, NIH.

___Other (If necessary, use this space to describe your role in this research).

7. Where are the subjects of this research activity located?
The material for this research is obtained from natural or induced abortions from females in California. Thus the tissues and cells involved will not be from living humans.

8. If human subjects are located elsewhere (not at NIH), will you have direct contact or intervention with them? (Examples: as subject's physician; in obtaining samples directly from the subject; by interviewing the subject?) ____ Yes __x__No

9. What kind of human samples (e.g., tissue, blood) or data (e.g., private information, responses to questionnaires) will be involved in your research?
_Samples will include cord blood, fetal blood, thymus, liver, and bone marrow. No private information will be involved._____

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10. If the samples, data do not come from an IRB approved protocol, do they come from:

(a) Repository ____Yes ___ No

(b) Pathological waste ___ Yes _____No

(c) Autopsy material ___ Yes ___ No

(d) Publicly available source _X__Yes ___ No

(e) Other_____

11. Please check the box(es) that apply(ies) to the samples/data that you will receive.

(a) ____ Samples and/or data will be anonymized/unlinked. (The samples/data cannot be linked to individual subjects by you or your collaborators at other sites.)

(b) ___ Samples and/or data will be coded, however that code cannot be used by either the sender or the receiver to identify specific individuals.

(c) __X_ Samples and/or data will be coded so that the provider of the samples/data can link them to specific individuals but the receiver will not be able to do so.

12. Will you send results back to the provider(s) (listed in question 2 of this form)?

(a) __X_ No, I will not send results back to the provider(s).

(b) ___ Yes, I will send aggregate results to the provider(s).

(c) ___ Yes, I will send results to the provider(s) that are linked to identifiable individuals.

If yes, does the provider intend to link your data to identifiable individuals?
_____Yes _____No

13. Has the research activity <u>that you are proposing in this form</u> been approved by an Institutional Review Board (IRB) elsewhere?

_____ Yes, the NIH research activity has been reviewed by the following IRB (s) (Please provide the following information for each IRB):

_____ Name of institution that provided the review

_____ Address of reviewing institution

_____ Name of PI for the IRB approved protocol

_____ Title of IRB approved protocol and protocol #

_____ Federal Wide Assurance (FWA) number**

___X_____No IRB review of the research activity described in question #1 above has taken place

(**An FWA is a contract between the U.S. Department of Health and Human Services (DHHS) and an entity receiving DHHS funds to conduct clinical research that the latter will follow ethical guidelines and federal regulations for the protection of human subjects. For a list of domestic and international institutions go to http://ohrp.cit.nih.gov/search/asearch.asp#ASUR

14. Per NIH guidance*, have conflicts of interest by NIH employees, if any, been resolved?**

__X___Yes _____No no conflicts of interest

If your answer is no, please see your Clinical Director about this matter before proceeding with this research.

***The January 5, 2005 NIH Guide to Preventing Conflict of Interest applies to all research conducted at NIH, http://ohsr.od.nih.gov/New/mpafwa_docs.html