BY ORDER OF THE COMMANDER

Central Command Regulation 40-6
(CCR 40-6), 8 April 2022

HEADQUARTERS UNITED STATES CENTRAL COMMAND
OFFICE OF THE CHIEF OF STAFF
7115 SOUTH BOUNDARY BOULEVARD
MACDILL AIR FORCE BASE, FLORIDA 33621

Medical Services

THE PROTECTION OF HUMAN SUBJECTS IN RESEARCH ACTIVITIES

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SUMMARY OF REVISIONS

This revision updates references and clarifies the involvement of United States Central Command in the review of publications deriving from research and process improvement projects done in the area of responsibility. It provides clearer guidance on project approval process.

1. PURPOSE

This regulation acknowledges all Federal laws, DoD, and Defense Health Agency regulations, directives, and instructions for the protection of human subjects in DoD research activities conducted or supported within the United States Central Command (USCENTCOM) Area of Responsibility (AOR). Most importantly, theater based human subjects research in combat casualty care is intended to contribute to a better understanding of health, medical, and operational issues of military personnel related to combat operations. Furthermore, this research is established with the objective to capture, validate, and disseminate new medical knowledge gained through a scientific process, where outcomes not only facilitate new standards of care for casualties with traumatic injuries, but also for injury prevention, and rehabilitation all of which support the warfighter.

2. APPLICABILITY

This regulation applies to all USCENTCOM Service Components, Combined, and other Joint Task Forces, all other U.S. military forces operating under Title 10 within the geographic AOR assigned or allocated to Commander, USCENTCOM by approved global force management processes (e.g., command plan), DoD civilian employees and DoD contractor/sub-contractor personnel deploying with U.S. forces (hereafter referred to as "DoD personnel") consistent with DoD and Service-specific guidance.

a. Any non-DoD personnel who under a bi/multi-lateral agreement have been assigned and/or allocated to work in a U.S. commanded military treatment facility (ashore or afloat).

b. DoD personnel assigned and/or allocated to work within a Department of State (DoS) led healthcare facility.

c. All DoD (conducted or supported) research involving human subjects as defined in Appendix B. All such activities must include both systematic investigation designed to develop or contribute to generalizable knowledge and involve a living individual about whom an investigator conducting research obtains data through intervention or interaction with the individual or about whom identifiable private information will be obtained. All activities meeting both of these conditions will hereinafter be referred to as "research involving human subjects" within this USCENTCOM Regulation (CCR).

d. Activities such as research, development, testing, and evaluation that meet the definition of research involving human subjects (as defined in Appendix B), as well as clinical investigations or medical activities regulated by the Food and Drug Administration (FDA) pursuant to Reference (a).

e. USCENTCOM Command Surgeon (CCSG) elected not to seek renewal of DoD assurance, a requirement to authorize original research under a USCENTCOM Human Research Protection Program (HRPP), which expired on 1 August 2016 but endorses research under other assurance programs.

f. As a general rule, USCENTCOM does not conduct research involving the FDA oversight requirements, but if such research were conducted in theater, Reference (i) will apply.

g. Applicability is not dependent upon the budget activities funding the research, the mission of the DoD organization conducting or supporting the research, the security classification of the research, the location of the research, or whether the research is conducted or supported under a program that is not considered research for other purposes.

h. This CCR does not apply to the U.S. Naval Medical Research Unit No. 3, Cairo, Egypt.

3. REFERENCES

See Appendix B.

4. POLICY

USCENTCOM supports all U.S. federal laws and DoD directives, instructions, and policies intended to establish and monitor protection of human subjects, and the application of ethical standards to ensure theater compliance with research activities. Further, USCENTCOM accepts its responsibilities for protecting the rights and welfare of all human research subjects in the operational environment and does not permit, under any circumstances, the use of captured or detained personnel as human subjects in any theater research protocol.

5. UNITED STATES CENTRAL COMMAND CHIEF OF STAFF

a. Supports the protection of human subjects in DoD research activities conducted or supported within the USCENTCOM AOR.

b. Holds the authority and responsibility for the implementation of a USCENTCOM HRPP management plan pursuant to Reference (a).

c. When an HRPP is established, one must do the following:

(1) Appoint in writing an Institutional Official (IO) for the overall administration of USCENTCOM's assurance for the protection of human research subjects.

(2) Submit reports to the Assistant Secretary of Defense (ASD) for Research and Engineering ASD, and ASD for Nuclear, Chemical, and Biological Defense Programs for research involving human subjects for testing of chemical or biological warfare agents.

(3) Submit reports to the ASD (research, development, testing, and evaluation) for any misconduct or noncompliance issues related to the protection of human subjects in research.

6. UNITED STATES CENTRAL COMMAND STRATEGY, PLANS, AND POLICY DIRECTORATE

When applicable, the Security Cooperation Office serves as the USCENTCOM point of contact for obtaining Host Nation (HN) approval/disapproval for DoD research on human subjects involving HN military personnel.

7. UNITED STATES CENTRAL COMMAND STAFF JUDGE ADVOCATE

Assists the USCENTCOM Chief of Staff and CCSG when allegations of serious or continuing noncompliance are substantiated by inquiry or investigation related to the protection of human subjects within USCENTCOM's AOR.

8. UNITED STATES CENTRAL COMMAND SURGEON GENERAL

a. When directed, establishes and maintains a HRPP management plan pursuant to Reference (a) to ensure USCENTCOM's compliance with all Federal and DoD regulations, directives, and instructions.

b. When directed, establishes a DoD Institutional Agreement (IA) between USCENTCOM and the DoD institution for supplying Institutional Review Board (IRB) review services to USCENTCOM. This Agreement becomes part of USCENTCOM's Assurance for the Protection of Human Research Subjects and includes the scientific peer review of studies conducted in the AOR.

c. When appointed, serves as an IO of USCENTCOM's Assurance for the Protection of Human Research Subjects under this Regulation and pursuant to Reference (a).

(1) Accepts full responsibility for the conduct of research performed in theater with respect to compliance with applicable Federal and DoD relevant laws, regulations, and guidelines.

(2) Ensures proposed research activities are evaluated to determine if they are, or are not human subjects research, as defined in Reference (a) and 32 Code of Federal Regulations (CFR) 219.102, and whether they meet exemption criteria in 32 CFR 219.104.

(3) Ensures the USCENTCOM HRPP is reviewed and re-approved at least annually or more frequently when major changes in the HRPP are identified.

(4) Defines the geographical locations within the AOR where research may be conducted.

(5) Enforces compliance with the terms of the USCENTCOM Assurance and HRPP. The IO serves as the compliance officer, ensuring that IRB recommendations for the termination or suspension of a non-compliant research activity are enforced as appropriate.

(6) Suspends research within a defined location when an effective HRPP cannot be ensured.

(7) When required, appoints an Area Approving Official and delegates the responsibility for oversight of research involving human subjects within a defined location (e.g., Afghanistan, Iraq, and Kuwait).

(8) Appoints a USCENTCOM Human Protections Director (HPD) and, when necessary, a Theater HPA, both with the responsibility for the regulatory oversight of research that is conducted or supported within the AOR.

(9) Ensures research is conducted under the highest ethical standards and establishes a formal review process for allegations of research misconduct pursuant to Reference (h).

(10) Provides the AOR with the resources needed to ensure compliance with the protection of human research subjects.

(11) Ensures education and training is completed pursuant to Reference (a) for all personnel assigned to conduct or support research involving human subjects in theater.

9. UNITED STATES CENTRAL COMMAND SERVICE COMPONENTS, COMBINED, AND OTHER JOINT TASK FORCES COMMAND SURGEONS

a. Enforces compliance with this CCR.

b. Ensures all personnel conducting or supporting research that involves human subjects is in compliance with DoD education and training requirements.

c. Ensures personnel conducting or supporting research involving human subjects are in compliance with their training for Privacy Rule of the Health Insurance Portability and Accountability Act, as appropriate.

d. When directed, implements and monitors the USCENTCOM HRPP management plan.

10. GENERAL

To conduct human subjects research in USCENTCOM's Theater, the following areas will be addressed: (1) research studies/protocols are operated under an approved DoD Assurance; (2) human subjects research, not exempt from Federal or DoD human subjects protection, is reviewed and approved by a duly constituted IRB; (3) investigators are trained in the basic tenets of human subjects' protection requirements; and (4) mechanisms exist for ongoing compliance oversight. USCENTCOM ensures research and non-research performed in theater is focused toward relevant issues significant to the combatant command and will not hinder ongoing combat operations or health service support to these operations.

11. THEATER BASED RESEARCH

a. Research that has received approval under another organization's DoD assurance, with the approval from USCENTCOM, may be conducted by medical personnel at Role 1, Role 2 (both Light Maneuver and Enhanced), Role 3 (ashore or afloat), and with medical personnel performing en route care during patient evacuation/movement pursuant to Reference (a).

b. Categories of research that may be conducted are, but not necessarily limited to, observational (descriptive) biomedical, social, and behavioral research. This may involve retrospective record or database reviews, and prospective studies that either require advance informed consent (e.g., survey research) or are eligible for waivers of informed consent (e.g., certain types of descriptive studies).

c. The feasibility of conducting controlled clinical trials of medical interventions under established Good Clinical Practice standards is significantly impacted by the high operational tempo, and short duration of contact that characterizes military medicine in the deployed environment of a combat zone.

d. Questions on conducting research or non-human research, processes, and project request forms can be sent to USCENTCOM Clinical Operations (CLINOPS) at: centcom.macdill.centcom-hq.mbx.ccsg-clinops@mail.mil. Performance improvement project requests will be reviewed by USCENTCOM CCSG and submitted for IRB review pursuant to Reference (g).

12. THEATER BASED NON-RESEARCH

a. Performance Improvement Program (PIP) is the systematic process aimed at improving the effectiveness and efficiency of healthcare operations and is considered a non-research venue. Refer to Reference (g) for PIP procedures.

b. The IRB reviews non-research use of investigational products that will support the DoD Force Health Protection (FHP) program, and DoD Military Training Facilities who may require emergency use of investigational drugs and devices (e.g., U.S. Army Institute of Surgical Research's Burn Intensive Care Unit, Landstuhl Regional Medical Center, and operational healthcare units within USCENTCOM's AOR).

c. Reviews must never delay or preclude activities essential to military strategic or operational missions, patient care, or FHP. This includes investigations required by DoD-specific regulations such as epidemiological consultations or directed by emergent FHP issues.

d. Epidemiological consultations are required investigations using research methodologies in response to disease outbreaks. For example, preventive medicine requires investigation of health outcomes in service members with toxic exposures and as such, interpreting and reporting illness and injury data in this context is not considered human subjects research.

e. U.S. Army Medical Materiel Development Activity FHP Division manages a portfolio of treatment protocols pursuant to Reference (i), addressing preventive or therapeutic treatments designed to meet the anticipated or potential needs of service members and works closely with the IRB to ensure appropriate review, approval, and oversight of the portfolio of FHP treatment investigational drugs for use in theater.

13. RESEARCH UNDER A DEPARTMENT OF DEFENSE ASSURANCE OTHER THAN UNITED STATES CENTRAL COMMAND (NON-UNITED STATES CENTRAL COMMAND HUMAN RESEARCH PROTECTION PROGRAM)

a. The Principle Investigator (PI) will contact USCENTCOM to obtain endorsement of their proposal when identifying USCENTCOM or the "operational/deployed environment" as the site for their research activities. The following questions at a minimum, must be addressed by the PI for the consideration of endorsement by the CCSG:

(1) Is there a requirement to send research member(s) into an area of operation (e.g., Iraq, Kuwait, or Afghanistan) as part of the protocol?

(2) Will the subjects be required to perform or be subjected to interventions (e.g., taking of blood, body fluid, or tissue specimens while in theater)?

(3) Is the PI requesting interaction (i.e., physical or virtual) to DoD Forces or non-U.S. military personnel operating within USCENTCOM's Theater to participate in a research protocol?

b. The PI will provide a brief description of their protocol to the USCENTCOM Chief, CLINOPS at: centcom.macdill.centcom-hq.mbx.ccsg-clinops@mail.mil. Information will be sent to the appropriate Service Component and/or Combined, and other Joint Task Forces Command Surgeon for their review and adjudication with final endorsement from the CCSG.

c. No projects or proposals are authorized in medical facilities without CCSG endorsement.

14. RESEARCH UNDER A UNITED STATES CENTRAL COMMAND DEPARTMENT OF DEFENSE ASSURANCE (UNITED STATES CENTRAL COMMAND HUMAN RESEARCH PROTECTION PROGRAM)

a. USCENTCOM may establish an integral human research capability. To meet Federal and DoD regulations, policies, and guidance for the implementation of a theater research program for

combat casualty care, USCENTCOM must formally develop and establish at a minimum the following:

(1) DoD Assurance. USCENTCOM will comply with the assurance protocols contained within Reference (c).

(2) DoD IA. This document is used when an institution will be engaged in human subject research and will use an IRB that is not organizationally or legally part of the institution. This agreement ensures that the engaged institution, with the Federal Assurance and the IRB providing the review and approval of the research, know the responsibilities of each party to this agreement.

(3) Institutional Agreement for Institutional Review. This agreement, when signed, becomes part of the USCENTCOM DoD Assurance for the Protection of Human Research Subjects and applies to all research performed under the USCENTCOM HRPP.

(4) Continental U.S. Regulatory Activities Office. Primary role for this office is to provide USCENTCOM with the ethical review and regulatory oversight for the protection of human subjects in research.

(5) HRPP. The HRPP describes how USCENTCOM will fulfill the responsibilities described in Reference (a) and implement procedures for DoD-conducted or supported research involving human subjects which apply to this Institutional Organization. The goal for the HRPP is to assure research activities involving human subjects are guided by ethical principles set forth in Reference (b).

b. USCENTCOM required positions include, but may not be limited to the following:

(1) Headquarters (HQ) HPD formally appointed by the USCENTCOM IO and has operational oversight for the compliance of the USCENTCOM Assurance and HRPP for theater.

(2) Theater Human Protections Director is formally appointed by the USCENTCOM IO to support the HQ HPD with the monitoring and compliance of the Assurance and HRPP in theater.

15. SUSPENSION OR TERMINATION OF RESEARCH

Both the USCENTCOM CCSG and the approving IRB have the authority to suspend or terminate approval of research that is found to be non-compliant with applicable requirements, regulations, or the research protocol. Any suspension or termination of approval shall include a statement for the action, and shall be reported promptly to the appropriate Human Research Protections Office and to department or agency head(s).

16. PRISONERS OF WAR, CAPTURED, OR DETAINED PERSONNEL

Pursuant to Reference (a), detainees and prisoners of war may not participate in human subjects' research. USCENTCOM mandates that suspected insurgents and detainees are also prohibited from participating in research. The only exception is for the purpose of diagnosis or treatment of

a medical condition in a patient by investigational new drug or device under the provisions as outlined in Reference (a) paragraph 3.9(e).

17. NON-U.S. PERSONNEL

Data obtained from HN civilians or military personnel may only be collected as part of a research protocol that has been determined by the IRB to meet one of the following conditions:

a. The activity proposed does not meet the definition of human subjects' research.

b. The study meets a criterion that exempts it from human subjects protection regulatory requirements.

c. The proposed study is determined by the IRB to present minimal risk to participants and is eligible for a waiver of informed consent pursuant to criteria set forth in 32 CFR 219.116(d).

18. CLASSIFIED RESEARCH INVOLVING HUMAN SUBJECTS

The DoD Office for Human Research Protections is the final authority for all DoD-conducted or DoD-supported classified Human Subject Research (HSR). The senior designated official prospectively conducting or supporting the HSR must submit a package to conduct the classified HSR.

19. DOCUMENTATION OF HUMAN RESEARCH PROTECTION ACTIVITIES

a. Pursuant to U.S. federal regulations, records associated with USCENTCOM human research regulatory files will be kept at least three years after the IRB has accepted the closure report.

b. While Federal regulations and normal DoD practice is to have records remain on-site at the research location, combat zones, and operational environments pose unique challenges.

c. Security of research documents in the AOR will be the responsibility of the on-site PI. On-site PIs will:

(1) Keep documents associated with the research project in a locked and secure environment (minimizing hard copy storage and maximizing electronic systems and files).

(2) Ensure study records are inventoried and shipped to the PI at the institution of record when a study is closed.

20. DISSEMINATION OF RESEARCH FINDINGS

a. Pursuant to Reference (d), Clearance of DoD Information for Public Release, "any official DoD information intended for public release that pertains to military matters, national security issues, or subjects of significant concern to the DoD, shall be reviewed for clearance prior to release."

b. Clearance is granted when actionable intelligence and/or classified information are not disclosed, DoD interests are not jeopardized, and the author accurately portrays official policy, even if the author takes issue with that policy.

c. Medical information derived from USCENTCOM's theater may be presented when reporting research findings in professional material such as abstracts, manuscripts, presentations (speeches and/or any other open venues where professional medical activities, analyses, and/or research are reported), charts/graphs, data sources, websites, photographs, interviews, videos, or audio recordings and other forms of electronic media.

(1) Open venues include professional journals, conferences, symposiums, magazines, newspapers, website postings, weblog (blog) postings, internet information forums, television, and radio. Note: the release of medical information considered Actionable Medical Information (AMI) may be used by enemy forces to enhance their tactics or techniques to inflict harm.

(2) Professional material or work presented in these forums listed here are subject to review for operational security, AMI, and appropriateness for public release.

d. USCENTCOM research findings or PI findings (presentations/publications/manuscripts) will be reviewed for clearance by the service component and CCSG office before review by either the IRB's or author's security and public affairs offices prior to public release. DD Form 1910, *Clearance Request for Public Release of Department of Defense Information*, will be completed and submitted to the service component CLINOPS Chief for onward routing to USCENTCOM CLINOPs. USCENTCOM email for review and feedback is: centcom.macdill.centcom-hq.mbx.ccsg-clinops@mail.mil.

(1) Presentations/publications/manuscripts of DoD conducted/sponsored research must contain DoD-specific disclaimers and must not contain any of the following:

(a) Classified or Controlled Unclassified Information.

(b) Essential elements of friendly forces information.

(c) Weapon systems or equipment vulnerabilities.

(d) Specific links between defined wounding methods and the resulting wound patterns.

(e) Specific links between injuries sustained while wearing defined personal protective equipment and the resulting wound patterns.

(f) Specific links between injuries sustained while in defined vehicles and the resulting wound patterns.

(g) Discussion of specific ballistic agents and the resulting failure of personal protective equipment or vehicles.

(h) Linking casualties with or injuries that occurred from specific attacks, located in a specific location, or on a specific date.

(i) Units and their locations.

(j) Casualty rates in relation to deployed troop strength or compared over time.

(k) Troop rotation or movement patterns or schedules.

(l) Photographs or videos of wounded or deceased service members unless photographs do not revel vulnerabilities of personal protective equipment, vehicles, or other hardened structures (including physical security measures such as security checkpoints).

(m) Protected health information.

(n) Review is not required if the author(s) intends to keep the work within the DoD in a classified or CUI, or other status that prevents public release. Clearance requirements will be given to Pls in the information packet with their approved protocol.

21. PROPONENT

The proponent of this regulation is the HQ USCENTCOM Surgeon General (CCSG). Units are invited to submit comments and suggested improvements directly to HQ USCENTCOM ATTN: CCSG, 7115 South Boundary Boulevard, MacDill AFB FL 33621-5101.

22. ACCESSIBILITY

Publications and Forms are available on the USCENTCOM SIPRNet Releasable (REL) Publications Information Portal at the following link: https://ccj6.rel.centcom.smil.mil/R_DIV/RD/RDP/SitePages/Home.aspx.

23. RELEASABILITY

There are no releasability restrictions on this instruction within the U.S. Federal Government. Contact the USCENTCOM Freedom of Information Act (FOIA) Office if requested for public release pursuant to the FOIA.

24. EXPIRATION

This regulation will expire in five years pursuant to USCENTCOM CCR 25-30, *Preparation of Administrative Publications*, unless revised or rescinded.

OFFICIAL:

PATRICK D. FRANK
Major General, U.S. Army
Chief of Staff

APPENDICES
Appendix A: Glossary
Appendix B: References

APPENDIX A: GLOSSARY

1. Abbreviations, Acronyms, and Initialisms. Pursuant to the *DoD Dictionary of Military and Associated Terms*, an abbreviation is a shortened form of a word or phrase pronounced as a word (e.g., SecDef). An acronym is a shortened form of a phrase of words, where the letters of the acronym stand for the terms of its meaning and is also read as a word (e.g., ASAP [as soon as possible]). An initialism is a shortened form of a word or phrase that is not spoken as a word; each letter is spoken separately (e.g., DoD).

AOR	Area of Responsibility
ASD	Assistant Secretary of Defense
CCR	United States Central Command Regulation
CCSG	United States Central Command Surgeon General
CFR	Code of Federal Regulations
CLINOPS	Clinical Operations
DoS	Department of State
FDA	Food and Drug Administration
FHP	Force Health Protection
HN	Host Nation
HPD	Human Protections Director
HQ	Headquarters
HRPP	Human Research Protection Program
HSR	Human Subject Research
IA	Institutional Agreement
IO	Institutional Official
IRB	Institutional Review Board
PI	Principle Investigator
SCO	Security Cooperation Office
USCENTCOM	United States Central Command

2. Terms/Definitions. Unless otherwise noted, these terms and their definition are for the purpose of this regulation.

administrative review. Review of a research protocol and supporting documents (e.g., safety review, scientific review, IRB minutes) related to DoD-supported research involving human subjects which ensures the institution engaged in the research involving human subjects has met the requirements of all applicable regulations and policies. This is not an IRB review.

classified research involving human subjects. Research involving human subjects where protocol or other information required by the IRB for review and oversight or required or provided by the research subjects includes classified information.

clinical investigations. Any research or experiment that involve a test article, one or more human subjects, and are performed under the requirements of Reference (e). Clinical investigations are a subcategory or research involving human subjects.

DoD-conducted research involving human subjects. Research involving human subjects that is performed by DoD personnel. Intramural research is one type of DoD-conducted research involving human subjects.

DoD-supported research involving human subjects. Research involving human subjects for which the DoD is providing at least some of the resources. Resources may include but are not limited to funding, facilities, equipment, personnel (investigators, or other personnel performing tasks identified in the research protocol), access to or information about DoD personnel for recruitment, or identifiable data or specimens from living individuals. It includes both DoD-conducted research involving human subjects (intramural research) and research conducted by a non-DoD institution.

DoD-supported research in the USCENTCOM AOR that is exempt from CCR 40-6 includes surveys, focus groups, and interviews of populations that ensure participant anonymity and do not include vulnerable populations (e.g., prisoners, minors, pregnant women). This is pursuant to 45 CFR 46.101(b)(2), exemption 2 to the Federal Policy for the Protection of Human Subjects ("Common Rule"), which states: "Research using educational tests, survey procedures; interviews; or observations of public behavior, unless subjects are identifiable and disclosure could place them at risk. This exemption for parts involving educational tests is applicable to children. However, this exemption for parts involving survey or interview procedures or observations of public behavior does not apply to research involving children, except for research involving observation of public behavior when the investigator(s) do not participate in the activities being observed".

exempt research involving human subjects. Research involving human subjects where the only involvement of the human subjects in the research are in one or more of the categories identified in section 219.101(b).

federal assurance. A written document in which an institution (not an IRB) commits to a Federal department of agency their compliance with the requirements set forth in the Common Rule. Institutions engaged in non-exempt research involving human subjects conducted or supported by the DoD or other Federal departments and agencies that have adopted the Common Rule must have a Federal assurance approved or accepted by the Federal agency supporting the research.

HRPP. Institution's system of interdependent elements that implement policies and practices to protect human subjects involved in research.

human subject. A living individual about whom an investigator conducting research obtains data through intervention or interaction with the individual; or identifiable private information.

a. Intervention includes both, "physical procedures by which data are gathered (e.g., venipuncture) and manipulation(s) of the subject or the subject's environment that are performed for research purposes."

b. Interaction includes, "communication or interpersonal contact between investigator and subject (whether written or verbal)."

c. Private information includes, "information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information that has been provided by an individual for specific purposes and which the individual can reasonably expect will not be made public (e.g., medical record). Private information must be individually identifiable (i.e., the identity of the subject is or may readily be ascertained by the investigator or associated with the information) in order for the information to constitute research involving human subjects."

institution. An organization or entity defined in a Federal assurance or HRPP.

institutional official (IO). The senior person authorized to establish and responsible to maintain the HRPP for the institution. Responsible for a Federal assurance and the IRBs internal to the institution, if these elements are part of the HRPP.

noncompliance. Failure of a person, group, or institution to act pursuant to Reference (a), its references, or applicable requirements.

non-exempt research involving human subjects. An activity that meets the definitions of research and human subjects, but does not meet the criteria where the only involvement of the human subjects in the research are in one or more of the categories identified in section 219.101(b).

research. A systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.

research involving human subjects. Activities that include both a systematic investigation designed to develop or contribute to generalizable knowledge AND involving a living individual about whom an investigator conducting research obtains data through intervention or interaction with the individual or identifiable private information. Refer to Reference (a) (page 37) for list of activities conducted or supported by DoD that are not research involving human subjects.

serious non-compliance. Failure of a person, group, or institution to act pursuant to Reference (a) and its references such that the failure could adversely affect the rights, safety, or welfare of a human subject; place a human subject at increased risk of harm; cause harm to a human subject; affect a human subject's willingness to participate in research; or damage or compromise the scientific integrity of research data.

APPENDIX B: REFERENCES

a. Department of Defense Instruction (DoDI) 3216.02, *Protection of Human Subjects and Adherence to Ethical Standards in DoD-Supported Research*, 15 April 2020

b. The Belmont Report, *Ethical Principles and Guidelines for the Protection of Human Subjects of Research*, 1979. National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research

c. Health Affairs (HA) Policy 05-003, *Policy for Protection of Human Subjects in DoD sponsored research*, current version

d. DoD Directive (DoDD) 5230.09, *Clearance of DoD Information for Public Release*, 9 February 2022

e. DoDD 5205.02E, *DoD Operations Security (OPSEC) Program*, 29 August 2020

f. DoM 6025.18, *Implementation of the Health Insurance Portability and Accountability Act (HIPAA) Privacy Rule in DoD Health Care Programs*, 13 March 2019

g. USCENTCOM Regulation (CCR) 40-1, *Healthcare Operations*, 18 September 2020

h. Department of Defense Instruction (DoDI) 3210.7, *Research integrity and Misconduct*, 15 October 2018

i. DoDI 6200.02, *Application of Food and Drug Administration (FDA) Rules to Department of Defense Force Health Protection Programs*, 27 February 27 2008