PART D
POLICY FOR CONFLICTS OF INTEREST OF INSTITUTIONAL REVIEW BOARD MEMBERS
AND RESEARCH OVERSIGHT OFFICIALS

All terms in Bold are defined either at the end of the Tulane University Conflict of Commitment and Interest Policy or this Policy.

I. Applicability

This policy applies to Research Oversight Officials (as defined below), which includes, but is not limited to, Institutional Review Board ("IRB") Members and members of other institutional bodies responsible for research oversight at Tulane University. This policy defines Research Oversight Officials to include all personnel and staff of any institutional office or body at the University who perform research oversight functions in which they exercise professional or administrative-level discretion.

Principles

Federal law requires that IRB Members not have any conflicting interests in the research that they review. The University is concerned, as are various professional organizations, with the possible influence of such Research Financial Interests (as defined below) on research integrity and on the safety and welfare of human subjects involved in research protocols regardless of the source of research funding. The University is also concerned with any Leadership Roles (as defined below) that may be held by IRB Members in any entities that sponsor research, or that perform support, marketing, recruitment, data analysis or FDA liaison activities for research. The University’s policies therefore incorporate those concerns as well.

Consistent with federal laws and the ethical principles of human subjects research, Tulane University seeks to ensure that its Research Oversight Officials can carry out their responsibilities to protect the rights and welfare of human subjects participating in research projects at the University. Since the University recognizes that real, potential and apparent Conflicts of Interest may occur during research, this policy is intended to assist IRB Members as well as other Research Oversight Officials in determining when they have Conflicts of Interest in research and to guide them in disclosing all potential conflicts and then, as appropriate, cooperating in the management or elimination of the conflicts. While this policy governs the Conflicts of Interest of IRB Members and other Research Oversight Officials at the University, it does not regulate disputes between two or more individuals, nor disputes between one or more individuals and the University. Such disputes are to be resolved according to the University’s established dispute resolution procedures.

Because IRB Members and other Research Oversight Officials have primary responsibility for protecting the safety and welfare of human subjects participating in research at the University, it is the policy of the University that IRB Members and Research Oversight Officials, may not review any research protocol in which a decision to approve or disapprove the protocol could
affect the IRB Member’s or Research Oversight Official’s or their Immediate Family’s\(^1\) Research Financial Interests. In particular, IRB Members and Research Oversight Officials may not have Research Financial Interests in any research sponsor or health-care related organization, nor any Leadership Roles in any research sponsor or research-related organization that could affect their review of research.

**Process**

**Disclosure**

All IRB Members and Research Oversight Officials must complete Form D of the Conflicts of Commitment and Interest Disclosure Form.\(^2\) This form must be submitted to the member or official’s department chair or dean in accordance with the process described in the Tulane University Policy on Conflicts of Commitment and Interest and must be updated on an annual basis (by January 31 of each year) for as long as the IRB Member or Research Oversight Official continues to supervise research at the University. IRB Members and Research Oversight Officials who are newly hired by or affiliated with the University must submit Form D of the Disclosure Form prior to beginning their research oversight duties, and must thereafter comply with the January 31 filing deadline. IRB Members and Research Oversight Officials must indicate upon the form any and all Research Financial Interests and/or Leadership Roles they or their Immediate Family may have in any research or health care-related organization, including any not-for-profit or tax exempt health care-related companies or foundations. IRB Members and Research Oversight Officials must also indicate whether any of their Leadership Roles could affect, or appear to affect, their review of any particular research projects.

**Updating**

If at any time over the course of the year one or more Research Financial Interests or Leadership Roles of an IRB Member or Research Oversight Official or their Immediate Family in any research or health care-related organization changes in any material way, the IRB Member or Research Oversight Official must promptly notify the COI Committee of that change by submitting a written statement detailing such change(s).

**Confidentiality**

All financial and other confidential information disclosed by Faculty and Staff to the individuals described in Paragraph (1) will be maintained in strict confidence. The COI Committee may

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\(^1\) As required by law, the term Immediate Family is defined differently for members of the Tulane University Medical Group and other health care providers. Such members and health care providers must refer to the definition of Immediate Family that can be found in the addendum to the University’s Policy on Conflicts of Commitment and Interest regarding such definition. The applicable definition of Immediate Family for all other Faculty and Staff members can be found in the Definitions section of that Policy.

\(^2\) IRB Members and other Research Oversight Officials who are also Investigators must complete Form C of the Annual Conflicts of Commitment and Interest Disclosure Form in their capacity as Investigator, and Form D in their capacity as a member of the University’s research oversight personnel. Please see Tulane’s Conflicts of Interest Policy for Investigators in Human Subjects Research.
need to disclose information to other University administrators defined as Designated Officials in this Policy to carry out the purpose of this policy. No other uses or disclosures of the financial and other confidential information of a Faculty and Staff member will be permitted, unless required by law.

**Review by the COI Committee**

As promptly as practicable after the January 31 filing deadline, the COI Committee will review Form D of the Disclosure Form of the IRB Member or Research Oversight Official to make certain that the IRB Member or Research Oversight Official does not possess any research or health care-related Research Financial Interests, or any Leadership Roles that could affect the Member’s or Official’s review of research. If the COI Committee concludes that the IRB Member or Research Oversight Official is devoid of any such Research Financial Interests and that the Member or Official does not possess any Leadership Roles that could affect the Member’s or Official’s review of research, then the matter will go no further. If, however, the COI Committee concludes that the IRB Member or Research Oversight Official possesses one or more Research Financial Interests, and/or that the Member or Official holds one or more Leadership Roles that could affect the Member’s or Official’s review of research, then the COI Committee will promptly inform the Member or Official in writing of its determination and of the remedies that must be taken by the Member or Official to fall into compliance. A Conflict of Interest will be deemed to exist **per se** if the IRB Member or Research Oversight Official is an inventor or co-inventor of a product or method in a study undergoing review or continuing review by that Member or Official, and/or where the IRB Member or Research Oversight Official is, or expects to be included as, an author on any publication relating to the study under review.

**Management or Elimination of Conflicts of Interests**

Where an IRB Member or Research Oversight Official is out of compliance with this policy due to one or more Research Financial Interests, the COI Committee will require that the Member or Official reduce every Research Financial Interest in any research Sponsor (as defined below) or health care-related organization to a de minimis level. The IRB Member or Research Oversight Official has the discretion of selecting how to accomplish this obligation (e.g., partial divestiture of the official’s Research Financial Interests, and/or partial divestiture of the Research Financial Interests of the official’s spouse or dependent children), but the time-frame in which divestiture must occur will be stipulated by the COI Committee, which ordinarily shall not be more than four weeks. Where an IRB Member or Research Oversight Official is out of compliance with this policy due to one or more Leadership Roles that could affect his or her review of research, the COI Committee will require that the Member or Official either terminate that Leadership Role or recuse himself or herself from the review of any research protocol that could be affected by that role. While an IRB Member or Research Oversight Official may not review a study that is being funded by a Sponsor in which he or she holds a Leadership Role, Leadership Roles in other research-related organizations will be assessed on a case-by-case basis by the COI Committee. If a Conflict of Interest is deemed to exist based on the IRB Member’s or Research Oversight Official’s status as an inventor or co-inventor of a product or method in a study undergoing review or continuing review by that Member or Official, or is deemed to exist based on the IRB Member’s or Research Oversight
Official’s existing or expected status as an author on any publication relating to the study under review, the remedy will be recusal.

Recusal

IRB Members and Research Oversight Officials must recuse themselves from reviewing a research protocol whenever they self-identify themselves as possessing a Conflict of Interest in relation to that protocol, and whenever they have been directed to do so by the COI Committee (or the Senior Vice President in the case of an appeal). In all cases, recusal must occur before the discussion of, and vote on, the research protocol in relation to which the IRB Member or Research Oversight Official has a Conflict of Interest. Nevertheless, the IRB Member or Research Oversight Official may remain in the room prior to the discussion or vote in order to provide information relating to the protocol, and may, if he or she is an inventor and/or serves as an Investigator on that protocol, present or assist in presenting the protocol to the IRB Members.

Appeal of COI Decision

An IRB Member or Research Oversight Official who disagrees with the COI Committee’s findings and/or management strategy may appeal in writing to the Senior Vice President responsible for the research. A copy of the appeal must be sent to the COI Committee. An appeal may lie in regard to whether the IRB Member’s or Research Oversight Official’s Leadership Role is likely to affect his or her review of research, but IRB Members and Research Oversight Officials may not contest the terms and conditions of this policy (e.g., they may not contest the prohibition on Research Financial Interests, nor the remedy for such interests). The applicable Senior Vice President may agree with the COI Committee’s findings and/or management strategy, or may amend such findings and/or management strategy, by for example, strengthening or weakening the management strategy. The applicable Senior Vice President shall promptly notify the IRB Member or Research Oversight Official and the COI Committee in writing of the conclusions of his or her review, including the actions that must be taken by the IRB Member or Research Oversight Official to comply with this policy. Upon receipt of the applicable Senior Vice President’s written report, the IRB Member or Research Oversight Official must promptly comply with the actions specified in that report.

Audits and Sanctions for Non-Compliance

If required by a Senior Vice President of the University, an IRB Member or Research Oversight Official may be audited for the purpose of verifying whether the IRB Member or Research Oversight Official truthfully and accurately disclosed his or her Leadership Roles, Secondary Commitments and Financial Interests, including Research Financial Interests in the Annual Research-Related Financial and Leadership Disclosure form (and in any updates thereto), and for the purpose of verifying whether the IRB Member or Research Oversight Official is complying with the actions, if any, that were specified in the written report of the COI Committee (or the Senior Vice President where there has been an appeal). An IRB Member or Research Oversight Official who does not comply with the actions specified by the COI Committee or the Senior Vice President will be subject to potential sanctions in accordance with University policy and procedures. These sanctions may include: formal admonition or
censure; suspension or removal from the IRB or other institutional research oversight body, and/or any other research oversight roles and responsibilities; non-renewal of appointment; and/or dismissal.

Additional Definitions

Leadership Role: Employment, consulting in any administrative or executive capacity, or serving as (i) a member of a board of trustees or board of directors, (ii) an officer, or (iii) a member of an advisory committee, advisory board or subcommittee of a board of trustees or a board of directors, whether remunerated or non-remunerated, in a research Sponsor or research-related organization.

Research Financial Interest:

Any investments (whether in the form of debt, stock or other equity ownership, options or warrants to purchase stock or other securities or similar instruments) or interest in a Sponsor, research or health care-related organization;

Royalties on any patent or other intellectual property interests, unless paid by the University;

Income, salary or remuneration in cash or in kind, emoluments, benefits, gifts, honoraria, travel expenses, goods or services received from a Sponsor or research or health care-related organization.

A Research Financial Interest does not include holdings in mutual funds or other equity funds in which day-to-day control of investments is held by a person not subject to this policy or any other any University conflict of interest policy.

Please note that a Research Financial Interest has no dollar or ownership thresholds; therefore, any interest related to a Sponsor or to the research must be disclosed, however small.

Research Oversight Official: Personnel and staff of any institutional office or body at the University who perform research oversight functions in which they exercise professional or administrative-level discretion. All Designated Officials in the policy of Tulane University on Conflicts of Commitment and Interest are also Research Oversight Officials. An Investigator is not a Research Oversight Official simply because the investigator is an Investigator.

Sponsor: The entity that is sponsoring or funding the research and the entity’s affiliates and subsidiaries, and any entity that monitors research, collects or arranges data for research or otherwise performs any services related to or supporting research, including assisting in applications or responses to the United States Department of Health and Human Services and/or the United States Food and Drug Administration.