

1 **HRPP Document:** SUP401
2 **Effective Date:** 10/1/07
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4 **Subject:** Statement on Institutional Conflicts of Interest

5 ORGANIZATIONAL STATEMENT

6 Although UAB has not developed an official policy on institutional conflicts of interests,
7 it has undertaken a number of preliminary activities aimed at informing the university leadership
8 and faculty about institutional conflicts of interest. During 2005 these activities included hosting
9 the annual meeting of the Conflicts of Interest Working Group which is comprised of academic
10 officers and administrators from across the nation. Also Susan Ehringhaus, General Counsel of
11 AAMC, presented a series of talks to UAB leaders and faculty on institutional conflicts of
12 interest. These activities will serve as a basis for future policy development.

13 Effective in May, 2006 the Conflict of Interest Review Board (CIRB) implemented
14 policies and procedures related to use of UAB derived intellectual property in proposed clinical
15 trials at UAB. As part of the review process, the CIRB receives information on UAB derived
16 intellectual property related to human subjects' research protocols from the UAB Research
17 Foundation. The criteria for approval require that a substantial rationale be provided for such
18 research to go forward. The rationale must demonstrate that a highly qualified group of
19 investigators is essential to conduct the trials, UAB possesses the appropriate patient population,
20 and the UAB IRB has determined that an outside board is necessary to monitor the design,
21 management, and safety of the proposed study.

22 On August 14th 2007 UAB's President directed the Vice President for Research, working
23 in conjunction with UAB's Research Compliance Officer, to develop a plan to address conflicts
24 of interest in the academic health center including institutional conflicts of interest. The
25 expected outcome of this process is a comprehensive unified set of policies and procedures for
26 conflicts of interests for UAB and the UAB Health System. The initial organizational meeting is
27 scheduled for October 16, 2007 and includes the Vice President for Research, the Dean of the
28 School of Medicine, and the CEO of the Health System. Dr. Robert Rich, Executive Vice
29 President and Dean of the School of Medicine, currently serves as co-chair of the AAMC/AAU
30 Advisory Committee on Financial COI and is well versed in the issues surrounding Institutional
31 Conflicts of Interests and current directions to address these issues.