

1 **HRPP Document:** SUP401  
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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 14<sup>th</sup> 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.