

Research Ethics Office, Research Ethics Boards Standard Operating Procedures
University of Saskatchewan

Section 100:	GENERAL ADMINISTRATION		
Standard Operating Procedure (SOP):	106 DISCLOSURE AND DOCUMENTATION OF CONFLICT OF INTEREST		
This SOP pertains to:	REB staff and members of the U of S Research Ethics Boards		
Responsibility for executing this SOP:	The Vice-President Research, the Director, Research Ethics, the Chairs of the U of S Research Ethics Boards and Institutional Officials.		
Approval Authority	The Vice-President Research and UCEHR		
Effective Date:	July 1, 2012	Superseded documents dated:	

<p>1. PURPOSE This SOP concerns possible conflicts of interest (COI) for Researchers, REB members, REB Chairs and REB staff and extends to ad hoc advisors who are not REB members but may be asked to review a project because of their expertise.</p>	
<p>2. POLICY In the environment of research, openness and honesty are indicators of integrity and responsibility, characteristics that promote quality research and can only strengthen the research process. Therefore, conflicts should be eliminated when possible and effectively managed and disclosed when they cannot be eliminated.</p> <p>Conflicts of interest arising in the work of the REB will be dealt with under the authority of the REB Chair. Conflicts of interest arising in the work of the REO will be dealt with by the Vice President Research or designate. The Vice President Research has the authority to impose and enforce disciplinary action in the event that COI is not disclosed.</p>	
<p>2.1 Definitions 2.1.1 Institutional Conflict of Interest An institutional conflict of interest involves a conflict between at least two substantial institutional obligations that cannot be adequately fulfilled without compromising one or both obligations.</p> <p>2.1.2 REB Member Conflicts of Interest REB members are in a conflict of interest when</p> <ul style="list-style-type: none"> • their own research projects are under review by the REB, • when they are a co-investigator; • when they are in a supervisory or mentoring relationship with a graduate student applicant; • when they have interpersonal (including employment) or financial relationships with researchers; • when they have personal or financial interests in a company, or organization (including not-for profit) that is sponsoring or will be substantially affected by the research. 	<p>TCPS2 Chapter 7 Part A Key Concepts</p>

<p>2.1.3 Researcher Conflict of Interest</p> <p>Researchers' conflicts of interest may arise from</p> <ul style="list-style-type: none"> • interpersonal relationships (e.g., family or community relationships), • financial interests, • academic interests, • other incentives that may influence decision making <p>Conflicts may arise from an individual's involvement in dual and multiple roles within or outside an institution.</p>	
<p>3. SPECIFIC POLICIES</p> <p>3.1 COI for REB members</p> <p>When reviewing research proposals, REB members shall disclose real, potential or perceived conflicts of interest to the REB. When necessary, the REB may decide that some of its members must withdraw from REB deliberations and decisions.</p> <p>If an REB is reviewing a research project in which a member of the REB has a personal or financial conflict of interest, the member must disclose the nature of the conflict and absent themselves from any discussion or decision regarding that research project. In the event that a member's conflict of interest and necessary withdrawal from the meeting will threaten the maintenance of quorum, the REB should ensure that a substitute member be in attendance to maintain quorum.</p>	<p>TCPS2, Article 7.3</p>
<p>3.2 Disclosure and Documentation of COI</p> <p>No REB Chair nor regular nor alternate REB member may participate in the initial or continuing review of any research project or protocol, in which the member has a conflict of interest (COI), except to provide information as requested. All REB members must execute the U of S REB Member Declaration concerning Confidentiality and Conflict of Interest and the signed declarations shall be kept by the REB office.</p> <p>It is the responsibility of the REB Chair, each voting member or alternative member of the board to disclose any COI in a study submitted to the REB and recuse him/herself from deliberations and voting, except as requested to provide information.</p> <p>A REB Chair or REB member who is named as a principal investigator or a co-investigator on a study application being reviewed by the REB will refrain from accessing reviewer comments.</p> <p>If a REB Chair or Board Member is not named as a PI or Co-PI on a study but is in a conflict of interest in relation to the study, it is her/his</p>	

Research Ethics Office, Research Ethics Boards Standard Operating Procedures
University of Saskatchewan

<p>responsibility to declare their conflict. The procedures for recusal of REB members, including the Chair, from deliberating or voting on any protocols for which there is a potential or actual conflict of interest are detailed in the REB minutes.</p>	
<p>3.3 Employees Institutional staff whose job status or compensation is impacted by research that is reviewed by the REB must recuse themselves from any meeting at which such a protocol is reviewed. Any case of disclosure of Conflict of Interest by staff shall be referred to the REB Chair for development of a management plan. In the case of the Chair having a conflict of interest, the matter will be referred to the Vice-President, Research or a designate from the REB, including the Vice-Chair, for development of a management plan.</p>	
<p>3.4. Researchers Researchers are subject to the University of Saskatchewan's Policy on Conflict of Interest . Researchers must disclose in their research ethics application the existence of any real, potential or perceived individual or institutional conflicts of interest that may have an impact on their research. In discussion with the researcher, the REB shall determine the appropriate steps to manage the conflict of interest.</p>	
<p>3.5 Education and training in COI REB members and staff are encouraged to participate in education and training activities related to conflict of interest issues where available.</p>	