
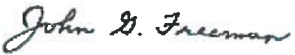



Section 100:	General Administration
Title:	Conflict of Interest: Queen's University
SOP Code:	105.001C
Effective Date:	2016FEB08

Site Approvals

Signature of Responsible Individual:		
Ethics Compliance Advisor		
	Name: Anthony Wright	Date: 2016FEB08
Approval Authority:		
Chair, GREB		
	Name: Dr. John Freeman	Date: 2016FEB08
Approval Authority:		
Director, Research Ethics Compliance		
	Name: Dr. Andrew Winterborn	Date: 2016FEB08

1.0 PURPOSE

This SOP describes potential Conflicts of Interest (COI) in the relationship between Queen's University in establishing GREB and GREB itself, and the requirements and procedures for disclosure and management of potential COI within this relationship.

2.0 SCOPE

The scope of this SOP is restricted to the review of the ethical conduct of research involving humans that falls under GREB's oversight. GREB primarily has research ethics oversight over Humanities, Social Sciences, Science, Engineering, and administrative research conducted under the auspice of Queen's University. The scope of GREB's oversight is limited to those activities defined in the TCPS2 (2014) as "research" involving "human participants."

3.0 RESPONSIBILITIES

All GREB members and GREB office personnel are responsible for ensuring that the requirements of this SOP are met.

4.0 DEFINITIONS

See Glossary of Terms.

5.0 PROCEDURES

Conflict of Interest (COI) is defined as: the incompatibility of two or more duties, responsibilities, or interests (personal or professional) of an individual or institution as they relate to the ethical conduct of research, such that one cannot be fulfilled without compromising another (TCPS2, 2014).

Queen's University's and other applicable COI policies (see SOP 105A, Conflicts of Interest (COI): GREB Members and Office Personnel; SOP 105B, Conflicts of Interest (COI): Researchers) should address the roles, responsibilities, and process for identifying, eliminating, minimizing, or otherwise managing COI relevant to research, including disclosure to GREB. Management of COI includes, but is not limited to, prevention, evaluation, disclosure, and application of appropriate remedies as defined by Queen's University.

GREB must be perceived to be fair and impartial, immune from pressure by the sponsor, Queen's University, the researchers whose research is being reviewed, or other professional and/or non-professional sources. GREB should identify and manage COI to maintain the confidence and trust of the public, the institution, researchers, and colleagues, and to maintain the independence and integrity of the ethics review.

The standard that guides decisions about determining COI is whether or not an independent observer could reasonably question that the individual's actions or

decisions are based on factors other than the rights, welfare, and safety of the participants.

5.1 Disclosure of COI

- 5.1.1 All Queen's University employees should be familiar with the Queen's University's and other applicable COI policies (see SOP 105A, Conflicts of Interest (COI): GREB Members and Office Personnel; SOP 105B, Conflicts of Interest (COI): Researchers);
- 5.1.2 Prior to engaging in any of the professional activities outlined in the COI policies and SOPs, employees should seek the approval of the Director of Research Ethics Compliance to ensure that no conflict exists in doing so;
- 5.1.3 GREB members shall be apprised of Queen's University's organizational structure with emphasis placed on the independent nature of the relationship between GREB and Queen's University, as outlined in SOP 101, Authority and Purpose. The actions of GREB Members relating to their responsibilities to protect human research participants shall not be measured or evaluated in terms of organizational or financial goals;
- 5.1.4 GREB meetings are closed to employees of Queen's University unless they are GREB members, GREB office personnel, authorized observers, or visitors invited by GREB to provide information. These designated individuals can attend GREB meetings only after signed confidentiality agreements are in place;
- 5.1.5 Queen's University senior administrators shall not serve as GREB members nor observe GREB meetings when their presence may influence GREB deliberations. The mere presence of non-voting institutional senior administrator(s) at GREB meetings may be a source of real, potential, or perceived COI, and may undermine the

independence of the GREB by unduly influencing deliberations and decisions;

- 5.1.6 Queen's University and GREB policies and procedures will be made publicly available to all members of the research enterprise, including participants, researchers, administrators, and sponsors, on the Queen's University Research Ethics website.

5.2 Management of COI

- 5.2.1 The GREB Chair or designee must be notified if a Queen's University COI relating to GREB is declared or discovered;
- 5.2.2 The GREB Chair or designee must be notified immediately if any Queen's University employee attempts to, or appears to attempt to, influence the research ethics review process or to obtain preferential treatment;
- 5.2.3 The GREB Chair or designee and/or Director of Research Ethics Compliance will review the available information to determine if a conflict exists, and to determine those aspects of the COI that might reasonably affect human participant protection;
- 5.2.4 The GREB Chair or designee may require a plan to manage the COI, which may include actions to eliminate or mitigate the conflict. Required actions may include, but are not limited to:
- Divestiture or termination of relevant economic interest,
 - Recusal of GREB office personnel whose job status or compensation is impacted by research that is reviewed by GREB,
 - If Queen's University staff members are involved, provision of information to the appropriate responsible Queen's University management personnel to develop and implement a plan for remediation,

- If the GREB Chair or designee is unable to satisfactorily manage the COI, or if there are unresolved concerns about any undue influence on GREB, the GREB Chair or designee will bring these concerns to the Director of Research Ethics Compliance for determination of the appropriate course of action;

5.2.5 In the event that the GREB Chair or designee cannot bring the matter to the appropriate Queen's university official(s) because of an emergent situation or competing COI with Queen's University, the GREB Chair or designee may escalate the issue to the Board authority.

6.0 REFERENCES

See References.

7.0 APPENDICES

None.

8.0 REVISION HISTORY

SOP Title	Version	Updates
Conflict of Interest: Queen's University	v.105.001C 2015FEB08	Original: This SOP was developed based on information from the TCPS2 (2014) and Queen's University previous documents or policies (using the format of CAREB/N2).

