

Foundations in Ethical Research GRAD214: Winter/Spring 2024

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Session 5



Please answer the following

I work directly with human subjects in my research

0%

I work with data about human subjects

0%

I work with human biospecimens

0%

I work with animals

0%

I do not work with any of the above

0%



Protection of Human Subjects in Research



The Protection of Human Subjects

- ❑ Know what types of research are subject to regulation
- ❑ Understand and follow the rules for project approval
- ❑ Get appropriate training
- ❑ Accept continuing responsibility for compliance



A Little History

- ❑ Welfare of research subjects was not protected until after World War II
 - ❑ Widespread concerns about atrocities committed
- ❑ Nuremberg Code (1947)
- ❑ Declaration of Helsinki (1964)
 - ❑ Latest revision and clarification, 2013
 - ❑ First international guidelines for the ethical treatment of human subjects



Nuremburg and Helsinki Were Not Enough

- ❑ Cold War: radiation experiments on hospital patients, children, and soldiers without informed consent
- ❑ Tuskegee (1932-1972): African-American males in a long-term syphilis study not offered penicillin once discovered in 1945
- ❑ Willowbrook State School (1963-1966): mentally disabled children intentionally infected with viral hepatitis



Here Comes the Regulation...

- ❑ 1974 Congress requires HHS to clarify rules for human subjects in research
 - ❑ Federal Policy for the Protection of Human Subjects is Codified as 45 CFR 46
- ❑ FDA codified its rules for human subjects research
 - ❑ 21 CFR 50 and 56
- ❑ Expected to harmonize soon



Federal Policy becomes the “Common Rule”

- ❑ 1991- Adopted by 16 Federal departments and agencies
- ❑ Additions to 45 CFR 46:
 - ❑ Subpart B – Pregnant Women, Human Fetuses and Neonates
 - ❑ Subpart C – Biomedical and Behavioral Research Involving Prisoners
 - ❑ Subpart D – Children as Research Subjects
 - ❑ Subpart E – Registration of IRBs with HHS



Common Rule Definition of Research

- ❑ “systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge”
- ❑ A project or study is research:
 - ❑ Conducted with the intention of drawing conclusions that have some general applicability
 - ❑ Uses a commonly accepted scientific method



Definition of a Human Subject

- ❑ Human subjects are “living individual(s) about whom an investigator conducting research obtains data through intervention or interaction with the individual identifiable private information”
- ❑ Humans are considered subjects:
 - ❑ Researcher interacts or intervenes directly with them
 - ❑ Identifiable private information is collected
- ❑ Institutional approval is needed before any work is undertaken



Exempt Research

- ❑ Some studies may be exempt
 - ❑ Commonly accepted educational settings
 - ❑ Educational tests
 - ❑ Retrospective studies if unidentifiable or publicly available
 - ❑ Taste and food quality evaluation
 - ❑ Consumer studies
- ❑ Decision must be made by an IRB (not the investigator)



Institutional Review Board (IRB)

- ❑ Federally funded human subjects research needs review and approval of IRB
- ❑ Individuals with different backgrounds discuss and make judgments about the acceptability of projects, based on the Common Rule
- ❑ IRBs must have at least five members
 - ❑ One scientist
 - ❑ One nonscientist
 - ❑ “One member who is not otherwise affiliated with the institution and who is not part of the immediate family of a person who is affiliated with the institution”



IRB Authority

- ❑ Approve research activities and protocols
- ❑ Require modification
- ❑ Disapprove all research activities covered by the Common Rule
- ❑ Responsible for
 - ❑ Conducting continuing review of research
 - ❑ Ensuring that proposed changes in approved research are not initiated without IRB review and approval



UCSF Human Research Protection Program (HRPP)



1979 Belmont Report

- ❑ Respect -- the right to make decisions for and about themselves without undue influence or coercion from someone else
- ❑ Beneficence --to maximize benefits and reduce risks to the subject
- ❑ Justice -- to distribute benefits and risks equally without prejudice to particular individuals or groups



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Federalwide Assurance (FWA)

- ❑ Human Subjects Research Must Be Guided by a Statement of Principles
- ❑ Compliance with Laws, Regulations, Policies, and Guidelines
- ❑ Written Procedures
- ❑ Institutional Support for the IRB(s)
- ❑ Reliance on an External IRB
- ❑ Renewal or Update of the Assurance



Biggest Problems for Researchers

- ❑ Adhering to the approved protocol
- ❑ Following any additional IRB instructions
 - ❑ FWA- Federalwide Assurance can be suspended
- ❑ Keeping accurate records
- ❑ Promptly reporting any unanticipated problems
- ❑ Primary responsibility still lies with the researchers



The following are examples of human subjects research guidelines:

The Common Rule

0%

The Belmont Report

0%

The Nuremberg Code

0%

The Declaration of Helsinki

0%

Three Rs of Alternatives

0%



Ethical Issues

- ❑ Informed Consent
- ❑ Right to Withdraw
- ❑ Risk Without Benefit



Informed consent

- ❑ Research subjects should be
 - ❑ Fully informed about experiments
 - ❑ Consent before they enroll
- ❑ Some subjects cannot give informed consent
 - ❑ Children
 - ❑ Adults with impaired decision making capacity
 - ❑ Some critically ill patients



Right to withdraw

- ❑ Research subjects should have the right to withdraw from experiments *at any time*
- ❑ In some cases they cannot
 - ❑ Mechanical hearts
 - ❑ Vaccines



Risk without benefit

- ❑ Nuremberg Code- “[t]he degree of risk to be taken should never exceed that determined by the humanitarian importance of the problem to be solved by the experiment.”
- ❑ Common Rule- Risks must be reasonable in relation to the benefits
 - ❑ To the subjects
 - ❑ To the knowledge that may be gained



HHS Proposed Major Revision to Common Rule

- ❑ Informed consent is “almost always” required for secondary use of biospecimens, *regardless of identifiability*-- recently struck down, but coming?
- ❑ A single institutional review board review is mandated for multi-site research conducted at U.S. institutions.

Biological Specimens

- ❑ Henrietta Lacks tumor cells (HeLa)
- ❑ Havasupai tribe diabetes study blood samples
- ❑ Newborns blood spots from standard metabolic screens



Still No Need for IRB, but Continuous Review

- ❑ Maintain the status quo distinction between identifiable and nonidentifiable biospecimens
- ❑ Research with nonidentified biospecimens will still not count as human subjects research — and can be done without IRB
- ❑ However, within one year and every four years, regulators will reassess the definition of identifiable



Big Data-- Social Networks

Facebook PNAS 2015



Koko

A mental health tech company ran an AI experiment on real users. Nothing's stopping apps from conducting more.

NBC news



What ethical issue is most on your mind with regards to human subjects and AI?

Nobody has responded yet.

Hang tight! Responses are coming in.



Human Subjects- Clinical Trials

- Early trials (phase 1) evaluate safety and treatment side effects
- Later trials (phase 2 and 3)
 - evaluate how effective treatments are
 - compare new therapies to standard treatments
- Sometimes trial phases are combined to expedite testing a treatment.



COVID-19 Vaccine Research (Moderna)

- Prior to COVID-19 pandemic average time to market for a vaccine was 10 years
- With COVID-19, vaccines went into trials as quickly as 2 months after sequence of virus was known
- mRNA vaccine technology is new
- Clinical trial phases were overlapped to “hedge bets” and move quickly
- Recruitment for participants intentionally included individuals with a high risk of infection
 - Unavoidable exposure
 - Pre-existing conditions
- Phase 3 included 30,000 individuals, half received a placebo of saline



What ethical considerations occur to you given this trial design? Moderna COVID-19 Phase 3 Clinical Trial Design Inclusion Criteria: Participants who are at high risk of SARS-CoV-2 infection

Nobody has responded yet.

Hang tight! Responses are coming in.



CRISPR

- Current clinical trials blood disorders, cancers, inherited eye disease, diabetes, infectious disease, inflammatory disease, and protein-folding disorders
- All current trials are non-germline
- Example: SCD
 - Ex-vivo gene editing reduces possible side effects from systemic exposure to editing tools
 - CRISPR/Vertex designed a single group open label study (no-placebo)

<https://beta.clinicaltrials.gov/study/NCT03745287?patient=CRISPR%2FVertex&locStr=&distance=0>

<https://innovativegenomics.org/news/crispr-clinical-trials-2022/>

Under what circumstances should we use CRISPR in humans?

Nobody has responded yet.

Hang tight! Responses are coming in.



The Welfare of Laboratory Animals



Animal research

- ❑ Conducted primarily for the benefit of humans
- ❑ Animals cannot consent to participate
- ❑ Animals cannot comment on their treatment



Federal regulations

- ❑ 1966 Animal Welfare Act (revised 1970, 1976, 1985, and 1990)
 - ❑ Assigns authority for the responsible transportation, care, and use of animals to the United States Department of Agriculture (USDA)
 - ❑ Covers animals used “in research facilities or for exhibition purposes or for use as pets.”
- ❑ 1985 Health Research Extension Act, Sec. 495
 - ❑ Delegates authority for the use of animals in “biomedical and behavioral research” to the Secretary of Health and Human Services (HHS), acting through the NIH and OLAW



USDA and HHS

- ❑ Researchers who use animals in research, including observational research, or teaching, can come under either/both jurisdictions
 - ❑ USDA animal welfare regulations and/or
 - ❑ HHS Policy on Humane Care and Use of Laboratory Animals
- ❑ Researchers therefore should be familiar with both



Guidelines

- ❑ 1950's- the “Animal Care Panel” (ACP) established a professional standard for laboratory animal care and facilities
- ❑ 1963- [Guide for Laboratory Animal Facilities and Care](#)
- ❑ Provides Guidance on:
 - ❑ Institutional Policies and Responsibilities
 - ❑ Animal Environment
 - ❑ Housing Management
 - ❑ Veterinary Medical Care
 - ❑ Physical Plant



“The Guide”

The Guide is widely accepted by both government and research institutions as the most authoritative source of information on most animal care and use questions...

Guide for
**LABORATORY
ANIMAL
FACILITIES
and CARE**

Prepared by the
COMMITTEE ON REVISIONS OF THE GUIDE FOR LABORATORY ANIMAL
FACILITIES AND CARE
of the
INSTITUTE OF LABORATORY ANIMAL RESOURCES
NATIONAL RESEARCH COUNCIL

(Third Revised Edition 1968)

U. S. DEPARTMENT OF
HEALTH, EDUCATION, AND WELFARE
National Institutes of Health



IACUCs

- Research institutions must establish an IACUC
- IACUCs oversee and evaluate all aspects of the institution's animal program, procedures, and facilities.
- Members must include
 - A doctor of veterinary medicine
 - One researcher who uses animals in research
 - One person who is not affiliated with the institution
 - Many IACUCs also have a researcher who does not use animals and/or a member who has some grounding in ethics



IACUCs responsibilities

- ❑ Reviewing and approving all animal proposals
- ❑ Reviewing the institution's animal care program
- ❑ Inspecting (at least twice a year) the institution's animal facilities
- ❑ Receiving and reviewing concerns
- ❑ IACUCs also have independent authority to suspend projects
- ❑ This authority comes directly from Congress



UCSF IACUC



Federal and Voluntary Oversight

- ❑ OLAW (NIH)
- ❑ USDA
- ❑ Association for Assessment and Accreditation of Laboratory Animal Care (AAALAC)



OLAW



- ❑ Relies on an “Assurance” mechanism to monitor compliance
- ❑ A signed agreement submitted by a research institution
 - ❑ Comply with applicable rules and policies for animal care and use
 - ❑ Provide a description of the institution’s program for animal care and use
 - ❑ Maintain an appropriate IACUC
 - ❑ Appoint a responsible IO for compliance



USDA



United States Department of Agriculture

- ❑ Inspection-based system carried out by USDA Veterinary Medical Officers
- ❑ Announced or unannounced visits to check compliance
- ❑ If violations are found, the institution is then subject to administrative fines and penalties

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Association for Assessment and Accreditation of Laboratory Animal Care (AAALAC)

- ❑ Private, nonprofit organization that promotes the humane treatment of animals in science through voluntary accreditation and assessment programs
- ❑ More than 950 companies, universities, hospitals, government agencies and other research institutions in 41 countries have earned accreditation



Three Rs of Alternatives: Russell and Burch (1959)

- ❑ Replacement
- ❑ Reduction
- ❑ Refinement



Replacement

- ❑ Using non-animal models
 - ❑ Microorganisms
 - ❑ Cell culture techniques
 - ❑ Computer simulations
 - ❑ Species lower on the phylogenetic scale



Reduction

- ❑ Using methods aimed at reducing the numbers of animals
 - ❑ Minimization of variability
 - ❑ Appropriate selection of animal model
 - ❑ Minimization of animal loss
 - ❑ Careful experimental design



Refinement

- ❑ The elimination or reduction of unnecessary pain and distress



The following are examples of voluntary oversight for animal research:

OLAW

0%

AAALAC

0%

The Three Rs of Alternatives

0%

USDA

0%

“The Guide”

0%



Ethical Issues

- ❑ Pain and suffering
- ❑ Concern for different species
- ❑ Unnecessary experiments



Pain and suffering

- ❑ Some information cannot be gained without pain and suffering
- ❑ Researchers studying trauma
 - ❑ Administering electric shock
 - ❑ Forcing animals such as rats to swim until they reach exhaustion
- ❑ How much pain and suffering is acceptable in experiments is not easily determined

Unnecessary experiments?

- ❑ Animal research remains controversial
- ❑ Animals are used to test the safety of experimental drugs should they also be used to test the toxicity of chemicals or cosmetics?
- ❑ Do researchers sometimes use more animals in an experiment than is absolutely necessary?
- ❑ Do researchers use animals when other means of testing would provide the same information?



End for today

