

Table of Contents

Letter of Transmittal to the President		
National Bioethics Advisory Commission		
National Bioethics Advisory Commission Staff and Consultants		
Prologue	i	
Summary of Recommendations	xi	
Chapter 1: Introduction—The Need for Change	1	
Introduction	1	
The Value of Research	1	
The Need for Oversight of Research Involving Human Participants	2	
Current Factors Influencing the Research Enterprise	4	
Major Challenges Facing the Current Oversight System	8	
Consequences of a Flawed System	16	
Notes	16	
References	18	
Chapter 2: A Proposal for Oversight	21	
Introduction	21	
Purpose of Oversight	21	
Functions and Responsibilities of the Oversight System	23	
Scope and Structure of a Revised Oversight System	26	
The Need for a Unified, Comprehensive Federal Policy	28	
Definition of Research Involving Human Participants	32	
Summary	42	
Notes	42	
References	43	
Chapter 3: Methods for Ensuring Protection: Education, Certification, and Accreditation	45	
Introduction	45	
Education and Competence in Conducting Research Involving Human Participants	45	
Mechanisms to Ensure Institutional, Institutional Review Board, and Investigator Compliance	50	
Conflicts of Interest	58	
Summary	64	
Notes	64	
References	65	
Chapter 4: Assessing Risks and Potential Benefits and Evaluating Vulnerability	69	
Introduction	69	
Institutional Review Board Approval of Research	69	
Risks of Harms and Potential Benefits to Participants and to Society	71	
Vulnerability	85	
Summary	93	
Notes	93	
References	95	
Chapter 5: Ensuring Voluntary Informed Consent and Protecting Privacy and Confidentiality	97	
Introduction	97	
Voluntary Informed Consent	97	
Privacy and Confidentiality	104	
Summary	107	
Notes	108	
References	108	
Chapter 6: Conduct of Research—Selected Issues for Local Institutions	111	
Introduction	111	
Monitoring of Ongoing Research	111	
Review of Cooperative Research Studies	117	
Compensation for Research-Related Injuries	123	
Summary	126	
Notes	127	
References	128	
Chapter 7: Implications of This Report	131	
Introduction	131	
Resources	131	
Future Research	133	
The New System as a Dynamic and Responsive Structure	134	
General Themes in the Recommendations	135	
What This Report Means to Those Who Use the System	136	
How This Report Will Affect Institutional Review Boards, Investigators, and Institutions	136	
How This Report Will Affect Research Participants	137	
Summary	137	
Notes	137	
References	138	
Appendices		
A. Acknowledgments		139
B. May 1999 Letter from Harold T. Shapiro to President William J. Clinton and President Clinton's Response		141
C. The Current Oversight System: History and Description		151
D. The Belmont Report		161
E. Code of Federal Regulations, Title 45 Part 46		169
F. Code of Federal Regulations, Title 21 Parts 50 and 56		187
G. Statutory Authority for Agency Human Subjects Protection Regulations (Common Rule)		205
H. Food and Drug Administration Regulations Requiring Reporting of Adverse Events		213
I. Public Comments on NBAC's December 19, 2000, Draft		217
J. Public and Expert Testimony		221
K. Commissioned Papers and Staff Analysis		225
Index		227