Conflict of Interest in Sponsored Projects: LSUHSC-NO CM-35 Test Questions

If you have access to LSUHSC-NO KDS Compliance Training, this written test will NOT be accepted; you must log into KDS: https://intranet.lsuhsc.edu/ctms/kds/ComplianceTrainingOnLine.

Print Legal Name: ____________________________________________, Degree(s)
(Credit will not be given if name is not legible)

Contact Number: (____)____________________ Extension: ______

Signature: __________________________________________________________________________

Date of Signature: _____ /_____/______

Employer/Institution of Affiliation: ______________________________________________________ (ex. LSUHSC-Gratis, Tulane, Ochsner)

Associated LSUHSC-NO Department: _______________________________________

Print this page. Email or fax the completed test answer page to:

Kelly Guth
The Office of Compliance Programs
433 Bolivar St. Suite 811
New Orleans, LA. 70112
Email: kguth@lsuhsc.edu or Fax: 504-568-7399

Record your answers below for the following questions.

1. ______ 7. ______
2. ______ 8. ______
3. ______ 9. ______
4. ______ 10. ______
5. ______ 11. ______
6. ______ 12. ______

Standard Code: COISP
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1. If an actual or potential Conflict of Interest exists, an investigator:
   a. Is permitted to begin research, as long as no results are published.
   b. Is not permitted to begin research until a written review of the disclosure has been conducted and, if necessary, a Conflict of Interest Resolution Plan has been developed.
   c. Is permitted to begin research, as long as he/she doesn’t tell anyone.

2. A potential or actual Conflict of Interest in research occurs if:
   a. There is a chance that an interest could reasonably appear to affect research.
   b. There is a chance that research or other LSUHSC-NO activities could reasonably appear to affect the interests of an external entity in which the Investigator (or Immediate Family Member) or the Institution has an interest.
   c. Either A or B

3. In the context of LSUHSC-NO’s Conflict of Interest Policy (CM-35), an Immediate Family Member is defined as:
   a. The spouse or dependent children of the investigator.
   b. Any individual that the Investigator knows or should know maintains an interest that may be impacted by research projects the Investigator is proposing or conducting.
   c. Any other person that a reasonably prudent person might consider to be a Conflict of Interest.
   d. All of the above.

4. The minimum threshold for disclosing Individual Financial Conflicts of Interest at LSUHSC-NO is:
   a. $10,000
   b. $5,000
   c. $100,000
   d. LSUHSC-NO has no minimal threshold for disclosure of Individual Conflicts of Interest.

5. The Investigators must provide completed and signed Conflict of Interest Attestation forms:
   a. Once a grant has been awarded and research has begun.
   b. Only for PHS-funded research.
   c. At the time of submission of any research grant, proposal, clinical trial agreement, or IRB application.
   d. Only when requested by someone in the Office of Research Services.

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6. **Conflict of Interest Attestation forms** must be updated to reflect any new or previously undisclosed Conflicts of Interest within thirty (30) days of discovering or acquiring a new Interest.
   a. True
   b. False

7. **Conflict of Interest Attestation forms** must be completed by:
   a. The principal investigator only
   b. Each member of the study team, including principal investigator, co-investigators, coordinators, technicians, post-docs/fellows, and students,
   c. The principal investigator and any key personnel only.
   d. Each study participant.

8. **All Significant Financial Interests** related to an investigator's institutional responsibilities should be disclosed in a Significant Financial Interest Disclosure form for determination regarding financial Conflict of Interest by the Office of Research Services.
   a. True
   b. False

9. **Significant Financial Interest Disclosure forms** must be updated:
   a. Annually, at the time of submission of the annual progress report to the Office of Research Services
   b. At grant closeout, with submission of the final progress report.
   c. They do not need to be updated

10. **A Significant Financial Interest with regards to a publicly traded entity exists if**:
    a. Any remuneration is received from the entity in the (12) twelve months preceding the disclosure.
    b. The investigator holds any equity interest in the entity as of the date of the disclosure.
    c. The investigator has a mutual fund and the investment decisions of the fund are not directly controlled by the investigator.
    d. A and B only.
11. Potential mitigation steps imposed by the Conflict of Interest Committee in the Conflict of Interest Resolution Management Plan may include:
   a. Public disclosure of Conflicts of Interest.
   b. Review of research protocol by independent reviewers.
   c. Disclosure to subjects through the consent process.
   d. All of the above.

12. If LSUHSC-NO sub-contracts out to another institution on a PHS-funded research proposal:
   a. The investigators working on the project at the sub-contracted institution do not need to complete Conflict of Interest Attestation or Significant Financial Interest Disclosure forms through LSUHSC-NO if the subcontracted institution has a COI Policy that complies with federal regulations and PHS Conflict of Interest requirements
   b. The subcontracted institution must follow LSUHSC-NO’s COI Policy if they do not have a policy of their own that complies with federal regulations and PHS Conflict of Interest requirements
   c. Both A and B are correct.