

1 NATIONAL BIOETHICS ADVISORY COMMISSION  
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12 Sunday, November 23, 1997  
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P R O C E E D I N G S

JOINT SESSION OF THE SUBCOMMITTEES

DR. SHAPIRO: Thank you all very much and thank you all once again for agreeing to be here on a Sunday which, I know, represents a considerable inconvenience for many of you and your families. I thank you very much for coming.

I have just a few small things to say by way of remarks, call to order and so on. One, probably the most important one, is to focus a bit on our next meeting. I just want to go over those with you and go over our plans. The Genetics Subcommittee will meet on December 9th. Okay. I do not know, Tom, if you have decided on a specific time or location. That is here in Washington I take it.

DR. MURRAY: I defer to staff here. It is in D.C., right?

DR. NORRIS: Yes.

DR. MURRAY: Then it will be at NIH?

DR. NORRIS: No, it is going to be at Crystal City.

DR. MURRAY: Oh, wonderful.

DR. SHAPIRO: Lucky you.

DR. NORRIS: Back by popular demand.

DR. SHAPIRO: In any case, would you send a

1 note around to all the subcommittee members because I did  
2 not have any information on that.

3 DR. HYATT-KNORR: We are just putting it  
4 together. We could not send it out any earlier.

5 DR. SHAPIRO: But that is relatively obviously  
6 near term. That is only another couple of weeks.

7 DR. HYATT-KNORR: Right.

8 DR. SHAPIRO: The full --

9 DR. NORRIS: As a matter of fact, I would like  
10 to circulate a form in a little while and if you want us  
11 to make the reservations for you because of the short  
12 notice if you will give us your credit card, exact name on  
13 it, number and expiration date, we will make the  
14 reservation for you on Monday. I am not suggesting that  
15 you do it but if you are willing to do it because of the  
16 short -- very short time line.

17 DR. DUMAS: Now that is the Genetics  
18 Subcommittee.

19 DR. SHAPIRO: Right.

20 DR. NORRIS: Or anybody else who happens to  
21 want to come.

22 DR. SHAPIRO: And, of course, any member of  
23 the commission is welcome to attend. Have you selected a  
24 time for that meeting?

25 DR. NORRIS: No, we have not yet. Dr. Murray,

1       what time would you like to start?

2                   DR. MURRAY:  Would our West Coast contingent  
3       like it to be an early morning start again?

4                   DR. \_\_\_\_\_:  As early as possible.

5                   DR. MURRAY:  As early as possible.  We are  
6       awfully nice to the people who come in from the West  
7       Coast.  Barring other sentiment I guess we will have an  
8       early start.

9                   DR. NORRIS:  7:30?

10                  DR. MURRAY:  I mean as early as 7:30.  Steve  
11       Holtzman is --

12                  DR. HOLTZMAN:  I cannot come early in the  
13       morning coming from the Midwest.

14                  DR. MURRAY:  Well, I would not want to say  
15       that not only would we be happy but we would be positively  
16       delighted if members of the Human Subjects Subcommittee  
17       wanted to come to this.  It would help establish this kind  
18       of cross talk that is not possible when we meet  
19       simultaneously but in separate rooms.  I think it will  
20       make the transition to being a subcommittee work group --  
21       full commission work easier if you come.  So as many of  
22       you as can come I would be thrilled.

23                  DR. SHAPIRO:  I just want to point out, Tom,  
24       that meeting simultaneously in different rooms might be  
25       better than meeting simultaneously in the same room.

1 (Laughter.)

2 (Simultaneous discussion.)

3 DR. SHAPIRO: In any case that is the next  
4 scheduled meeting of our committees or subcommittees. The  
5 full commission is currently scheduled to meet on  
6 Wednesday, January 7th. That will be here in Washington.  
7 More details will be forthcoming. We will also have a  
8 scheduled meeting on February the 6th. On Friday,  
9 February 6th, we expect to be in Los Angeles. So that  
10 again will be coming forward with more details but we will  
11 have a full day meeting in Los Angeles, Friday, February  
12 6th.

13 The next meeting will be here on March 4th.  
14 Here meaning in Washington on March 4th. Also followed by  
15 -- I am afraid to say it -- a Sunday meeting on April  
16 19th, also here in Washington.

17 We will send everybody here details of all  
18 these. We will meet here in Washington in April and in  
19 May we are hoping to meet in Cleveland on the 20th of May  
20 and back here in Washington in June, on June the 8th. We  
21 are currently planning the following two meetings, that is  
22 the one in July and then one in September away from  
23 Washington. In Portland, Oregon on July 7th.

24 MS. BACKLAR: Whoopee.

25 DR. SHAPIRO: Hear it for Portland, Oregon.

1 In Madison on September 16th and 17th. And then we will  
2 be back in Washington for our October meeting the 13th and  
3 14th. Then in Miami on November 17th and 18th. And then  
4 back in Washington in December.

5 So as you can see we are going to move the  
6 meetings around this year. There will be quite a number  
7 of different locations and we look forward to that, and  
8 staff will be -- for those of you who happen to reside in  
9 one or the other of these locations staff will be in touch  
10 with you. We are not going to ask you to run out and do  
11 all the logistics but just to see what help and  
12 suggestions you might be able to give us that would make  
13 the meetings as productive as possible and as pleasant as  
14 possible.

15 DR. DUMAS: Now this is the schedule that was  
16 sent to us earlier.

17 DR. SHAPIRO: By e-mail.

18 DR. DUMAS: By e-mail.

19 MR. CAPRON: Mr. Chairman?

20 DR. SHAPIRO: Yes.

21 MR. CAPRON: There was some discussion of our  
22 meeting in Tuskegee at the time that we would be issuing a  
23 release of the report on our federal oversight. I gather  
24 that has not made the agenda.

25 DR. SHAPIRO: It has not made the agenda for

1 two reasons. One, we really could not predict with very  
2 much accuracy exactly when we would be ready with the  
3 report. Also, it is logistically difficult. It is not an  
4 easy spot to meet and we thought unless we really had some  
5 very direct reason that really was very much connected to  
6 something we were recommended that it really did not make  
7 sense. So we thought we could not plan for that right  
8 now. If we decide at some future time we would like to  
9 try to do that either as a full commission or as part of  
10 the commission we can still do it. But it was difficult  
11 to plan on that not knowing, one, when we would be ready  
12 and, two, what it is we have to say and what way would it  
13 be relevant to that for the symbolism.

14 MR. CAPRON: I mean, it does seem to me that  
15 our report as it is shaping up on the federal agency work  
16 is I think in many ways a very relevant follow-up to the  
17 type of Tuskegee situation and there is nothing like the  
18 prospect of hanging and there is nothing like the prospect  
19 of a deadline that says the meeting is going to be there,  
20 we better have a report that we can affirm, but I leave it  
21 to you and Dr. Childress to see whether that date could be  
22 predicted.

23 DR. SHAPIRO: Thank you.

24 There are -- I want to -- I think all of you  
25 received quite a lot of mail about conferences here and

1       there on issues of direct relevant or direct relation to  
2       the committee's own work.  There is a major conference in  
3       Japan next year.  Somebody might have the date.  I do not  
4       have the date in front of me.

5                       Do you have the date, Alex?

6                       MR. CAPRON:  November 4th through 7th, I  
7       believe.

8                       DR. SHAPIRO:  It is November --

9                       MR. CAPRON:  I think that is correct.

10                      DR. SHAPIRO:  Early November is my  
11       recollection.

12                      Alta, you and I talked about it also.  I do  
13       not know whether you have the date.

14                      MR. CAPRON:  I sent it in the e-mail to you.  
15       It is November 4th through 7th.

16                      DR. SHAPIRO:  Yes.

17                      They are very anxious to have members -- any  
18       members of the commission here to attend.  They think it  
19       will, in part, not only as a sort of a general conference  
20       but a kind of second attempt at the summit that we  
21       arranged in San Francisco about a year ago, now just about  
22       exactly a year ago now.  And so I think some of you may or  
23       may not have received additional -- your own requests.

24                      I am trying to put together some resources  
25       from nonfederal sources that might make it a lot easier

1 for people from the commission who wish to go. I will  
2 know more about that the next time we meet. I think it  
3 would be very valuable to have at least some  
4 representation there. Of course, it is certainly not  
5 necessary to do it. That is a long ways away.

6 DR. HOLTZMAN: Where and when did you say?

7 DR. SHAPIRO: Japan. That is always a bit of  
8 a barrier. It is a long trip. It takes time and the  
9 flight, of course -- flights are very --

10 DR. MIIKE: It is a short trip.

11 DR. SHAPIRO: A short trip.

12 (Laughter.)

13 DR. SHAPIRO: I forgot how geographically  
14 advantaged you are in Hawaii in this respect.

15 (Laughter.)

16 DR. SHAPIRO: So that is just information. I  
17 will let you know more either by communicating directly  
18 with you or certainly by the next meeting. The next  
19 meeting I will certainly -- I expect to know a good deal  
20 more regarding resources. The conference is taking place  
21 independent of that and I think we will arrange at the  
22 very least to have one or two -- at the very least --  
23 people from the commission go. And so if any of you are  
24 especially interested please let me know.

25 DR. SCOTT-JONES: What are the dates?

1 DR. SHAPIRO: I do not know precisely. It is  
2 around the 4th of November.

3 MR. CAPRON: It is the 4th through the 7th.  
4 But the international summit as I understood it from a  
5 recent -- a discussion with a couple of the organizers,  
6 they were thinking of doing -- saying like we did which  
7 was to have that on a day before or after but probably  
8 before.

9 DR. SHAPIRO: So we will let you -- I will let  
10 you know by the time we meet again. All right.

11 Is there anything further on our meeting  
12 schedule?

13 All right. Thank you very much.

14 Also, as you all know, I think you all know,  
15 we of course have identified a key person to fill in the  
16 position of director. I do not know what the exact title  
17 is. Executive director. Whatever the formal title is.  
18 That is very good news to us. There are still some final  
19 issues that have to be resolved before a formal  
20 appointment can be made but I expect those to be resolved  
21 easily from one respect. That is it is a matter of  
22 straight forward going through the steps but who knows how  
23 long those take. So I am not able to say anymore about  
24 that right now. But that is going to be a very big help  
25 to us as we tend to try to organize our staff for the next

1 stage of our work.

2 Okay. With that let's just go on to see --  
3 turn to the chairs of the two principle subcommittees that  
4 we have right now to report to the entire commission on  
5 the nature of the progress of their work in particular  
6 areas.

7 Let me turn to Jim first of all to report on  
8 the subcommittee's activities regarding human subjects.  
9 Jim?

10 DR. CHILDRESS: Thanks, Harold.

11 Let me make a few observations about the two  
12 main reports we are working on and make a few comments  
13 about some long-term aspirations -- though it turns out  
14 these reports are now becoming long-term aspirations --  
15 and then see if subcommittee members would like to add  
16 anything.

17 We will not have either report ready for  
18 NBAC's full consideration until early in 1998. First, on  
19 the Federal Agency Report, which you will recall is a  
20 mandated task for us, we are close on the basic data with  
21 Bill Freeman and other members of the staff doing an  
22 excellent job in obtaining the information we need for the  
23 report and in getting that information before us. But we  
24 are still some distance from a final report in a couple of  
25 ways.

1                   One is we need now in response to expressed  
2                   concerns at the last meeting to get a clear picture about  
3                   findings and move forward recommendations that are both  
4                   important and feasible. Second, we need to take the  
5                   material that -- very helpful material that has been  
6                   provided and now recast and redraft that in a report form.  
7                   Kathy Hanna has agreed to join us for that purpose and  
8                   will be helping us in that task.

9                   In connection with that we are also looking at  
10                  issues surrounding location of a possible OPRR-like  
11                  mechanism within the federal government. We will be  
12                  spending some time this afternoon on that discussion based  
13                  on two important papers by Charles McCarthy and John  
14                  Fletcher and discussion with Joan Porter about the history  
15                  between the proposal and the adoption of the Common Rule.  
16                  All in an effort to fill out what we can learn about both  
17                  development and possibilities and limitations within the  
18                  current structure for implementing the Common Rule.

19                  Of course, one of the things that we have in  
20                  mind over time is thinking about ways in which to revise  
21                  it. Questions have come up along the way, comments and  
22                  criticisms, particularly from those within the federal  
23                  government, about difficulties in the Common Rule itself  
24                  and we are not ignoring those but we are not able really  
25                  to address those at this point.

1                   That is the direction we are going and I would  
2                   hope that we would have a draft with flushed out  
3                   recommendations that we could put before NBAC as a whole  
4                   and perhaps it can be at the February meeting. We will  
5                   need to talk about sort of when to do all this and when  
6                   each subcommittee might submit something to NBAC as a  
7                   whole since at that point we will -- we will be getting  
8                   together and having to reach some common decisions.

9                   The second report, we spent all this morning  
10                  discussing that. Jonathan Moreno building on the work of  
11                  Rebecca Dresser and testimony from research and the public  
12                  has produced an excellent second draft. The second draft  
13                  is very responsive to the discussion we had last time at  
14                  the meeting and also individual questions and criticisms  
15                  or suggestions following the meeting.

16                 We are going to -- that will not be revised  
17                 immediately. We will be working on it again, the members  
18                 of the subcommittee, on December the 3rd following a day-  
19                 and-a-half meeting at the National Institute of Mental  
20                 Health, devoted to the whole area of research involving  
21                 decisionally impaired subjects. We want to learn what we  
22                 can from that meeting and incorporate that information and  
23                 those insights into the draft. And then Jonathan based on  
24                 that work and on the discussion this morning will proceed  
25                 to come up with another draft.



1 MS. CHARO: Just a question and clarification.  
2 The Charles Mackay study, when we had him before us he  
3 said the results would be in, in March of '97, and I was  
4 wondering are the preliminary results available now in  
5 November?

6 DR. CHILDRESS: If we had time today we could  
7 have gotten an updated report. I think it will be better  
8 actually to have that in January. I think he will be a  
9 lot further along and be able to tell us more.

10 DR. EMANUEL: I do not think they have all the  
11 results in yet.

12 DR. CHILDRESS: But they are beginning their  
13 analysis at this point as I understood it of at least the  
14 basic information. Okay. I may have misunderstood what  
15 he said.

16 DR. EMANUEL: The last I had heard is that  
17 they were not quite ready to do that because they had not  
18 had everything.

19 DR. CHILDRESS: Okay.

20 DR. EMANUEL: But that may be out of date.

21 MS. CHARO: Thank you.

22 DR. CHILDRESS: At any rate I talked to him.  
23 He was available to come along with a member of the  
24 contracting team that had done the basic work but given  
25 what we had to do today I thought it was prudent not to

1 have him come today. We will expect to have him, though,  
2 in January.

3 DR. SHAPIRO: Could I just -- Jim, I hope I am  
4 not interrupting.

5 DR. CHILDRESS: No.

6 DR. SHAPIRO: I did want to say before in  
7 relation in part to the question you got regarding the  
8 issue of when a recommendation would come to NBAC as a  
9 whole. I did want to inform the group that I have put  
10 together, I guess, another informal bucket, or whatever  
11 name we are going to use this time, of some of your  
12 colleagues to help us think through our longer term  
13 agenda, that is where do we go once February and March and  
14 April pass us by.

15 I did the natural thing. I chose all the  
16 committee members whose names begin with "C" to form  
17 those. And at least Eric -- Eric Cassell has agreed to  
18 kind of be an informal chair of that group and I have  
19 asked Alta and Alex and David to serve on that group.  
20 They will present, I hope, some initial ideas to us at our  
21 next meeting or two and help us just all think through to  
22 get at the staff just what our agenda ought to be as we go  
23 ahead past the reports that are currently contemplated.

24 As Jim said, these reports tend to generate  
25 their own sequelae, so to speak, of additional things. I

1 want us to not only look at that but look at other  
2 possibilities all together rather than just be drawn on by  
3 yet one more implication of the topic that we had to take  
4 on. That may or may not be desirable. Those will only be  
5 some of the things this group will consider, I hope. And  
6 then hopefully that group can report back to us initially  
7 at least in January and probably at every meeting until we  
8 kind of resolve this over the months that go through the  
9 rest of this fiscal year.

10 Now I am hoping that both in January and our  
11 February meeting we will have some time to hear at least  
12 initial recommendations on some of these issues from the  
13 subcommittees. That is the main purpose for having the  
14 commission meet as a whole and some of these will be very  
15 preliminary, I am sure, but I think there is really no  
16 substitute for beginning to sort of argue them out. So I  
17 would hope that both in our January and especially our  
18 February meeting of NBAC we will have from each of the  
19 subcommittees, at least part of their work or aspects that  
20 they are working, some particular preliminary  
21 recommendations.

22 We will have to treat those, I think, in the  
23 spirit of really conversations and we should not think of  
24 these as final or the position of the commission or  
25 anything else like that, but a way to get us all thinking

1 very focused -- in a very focused way on exactly what  
2 actions that we might take.

3 I am sorry to interrupt.

4 DR. CHILDRESS: No, I actually was at the end.  
5 Thank you.

6 DR. SHAPIRO: All right.

7 MR. CAPRON: I should note on behalf of my  
8 colleague, James Childress, that if your method of  
9 appointment is logical. How do you think he spells his  
10 name?

11 (Laughter?)

12 DR. CHILDRESS: With a "J".

13 MR. CAPRON: I know how you should spell it.

14 DR. SHAPIRO: The current subcommittee chair  
15 is exempt from this procedure.

16 DR. CHILDRESS: Thank you.

17 (Laughter.)

18 DR. CHILDRESS: And I would hope, though, that  
19 other subcommittee members might want to add something to  
20 what I said.

21 DR. SHAPIRO: Any comments from any of the  
22 members of the Human Subjects or questions that other  
23 commission members might have as a result of the materials  
24 that were distributed? You have the new draft of the  
25 paper by Jonathan and you have other materials that were

1 distributed, some of which have not yet been discussed.  
2 It is something we will get to later on in the afternoon.

3 Okay. Let me turn to Tom. Excuse me, I am  
4 sorry. I apologize.

5 DR. EMANUEL: I am sorry. I just have -- I  
6 was not exactly sure what the -- you have a number of  
7 contract papers out and I am not sure where they fit into  
8 the scheme of things. Where -- and this may be just  
9 because I do not fully have a picture for how all the  
10 pieces evolve at the moment. But where does the say  
11 autonomy or risk paper fit into the kind of report, I  
12 guess, we are contemplating?

13 DR. CHILDRESS: Well, that is what I said.  
14 That is not a report. Broad concepts and ethics in the  
15 research involving human subjects. I mean, we are  
16 stumbling at every turn on the question of how one thinks  
17 about risk, minimal risk, more than minimal risk, et  
18 cetera. And we, at least in our discussion this morning,  
19 felt that might be a useful paper for us to get for our  
20 own exploration that we can then talk about the broad  
21 concepts relating to research involving human subjects but  
22 also to inform the work we are doing along the way.

23 A similar point about autonomy. So these are  
24 broad concepts that can inform particular discussions but  
25 at some point we would like to think again about Belmont

1 and related matters.

2 MR. CAPRON: That was something that the whole  
3 commission discussed a year ago at the meeting in,  
4 whenever that was, December or January. The notion of  
5 revisiting the Belmont concept. So in other words not so  
6 much those three principal principles but rather the whole  
7 question of an intellectual structure for analyzing  
8 research, human subjects research, and some of the issues  
9 that probably had not been as fully flushed out there like  
10 the vulnerability issue and so forth, the community issue  
11 and things like that.

12 DR. EMANUEL: I guess I understood that but I  
13 did not hear among the four things that Jim had outlined  
14 in terms of reports sort of a revisiting of the Belmont  
15 framework.

16 DR. CHILDRESS: Your question very usefully  
17 provoked --

18 DR. EMANUEL: So I guess I was just trying to  
19 see how A connected to B.

20 DR. CHILDRESS: Maybe the one on justice but  
21 clearly autonomy and vulnerability are getting at some of  
22 the issues surrounding respect for persons and the risk  
23 one is one of the most difficult areas under it and that  
24 is the one that seems to me to be the hardest to get clear  
25 on and to use.

1                   MR. CAPRON: Well, I would certainly think  
2                   that the Belmont revisiting is a shorthand for something  
3                   which as final issued by the commission as a report might  
4                   not look like a revisiting of Belmont. In other words, it  
5                   might be a report on substantive important issues in human  
6                   subjects research, some of which might cause a  
7                   reconsideration across the board and others would be  
8                   explorations of particularly important topics. So that is  
9                   one report that our committee thinks we are working on and  
10                  we are sort of adding pieces to it and it does not yet  
11                  have a conceptual framework.

12                 DR. CHILDRESS: And we are adding them in part  
13                 as we hit problems in trying to address other areas. That  
14                 is a more concrete --

15                 MR. CAPRON: Yes.

16                 DR. SHAPIRO: I think this comment is also  
17                 quite important. I mean, an example -- if you do not  
18                 mind, Jim -- that came up this morning when we were  
19                 struggling and the committee was struggling with the issue  
20                 of autonomy and what it meant, either your vulnerable --  
21                 so-called vulnerable population or in this so-called  
22                 nonvulnerable population, how one would think of autonomy.  
23                 And that has very practical impacts on what you might  
24                 recommend regarding appropriate human subject protection  
25                 let's say for vulnerable populations.

1                   And Eric had made the point this morning that  
2                   the concept of autonomy has just simply changed since the  
3                   1960's and then we have revisited, we, that is the broader  
4                   community has revisited it, and so I think that would be  
5                   very helpful. So it is in that context. It might be of  
6                   some help to this report but also, as Alex and others have  
7                   said, we can use it as part of a broader effort to just  
8                   improve our understanding of this area.

9                   DR. CHILDRESS: Could I just add one other  
10                  point? Even in terms of sort of Belmont revisited there  
11                  are two different ways to revisit. One is to go back and  
12                  now look at the principles over again and see whether one  
13                  can modify them, reject them, et cetera, or supplement  
14                  them. But the other is also to deal with the patterns of  
15                  interpretation that have developed and that are really  
16                  often specifications of those broad principles. That is  
17                  sort of where we get into the risk issue, for example, or  
18                  into the autonomy issue.

19                  So it is not so much that you have to  
20                  necessarily go back and take those broad ones apart again,  
21                  maybe we should and maybe we will, but at least  
22                  interpreted patterns have developed that need to be  
23                  addressed and that certainly is part of what we are trying  
24                  to get at.

25                  DR. SHAPIRO: Other questions on this related

1 subject before turning to Tom?

2 Tom, I will try once again.

3 DR. MURRAY: I am ready.

4 DR. SHAPIRO: Dr. Murray.

5 DR. MURRAY: I will go the reverse of the  
6 usual order. I will talk about our sort of longer range  
7 aims and then tell you where we are on the report we are  
8 working on.

9 I am not sure if the descriptions that were  
10 just given change our goal but our goal had been to have a  
11 report on tissue sample research by February and to roll  
12 out the report in February. I still hope we can achieve  
13 that. I think it is a possibility. Beyond that we want  
14 to do a report on genetic privacy and discrimination  
15 followed by a report on gene patenting.

16 MS. CHARO: I am sorry. I could not hear  
17 you.

18 DR. SHAPIRO: Followed by a report on?

19 DR. MURRAY: Gene patenting.

20 MS. CHARO: Thank you.

21 DR. MURRAY: Which we were -- again part of  
22 the terms of the Executive -- the one that established us  
23 -- is to look particularly at gene patenting and also at  
24 genetic information.

25 We should begin thinking about what papers we

1 want to commission for certainly the first of those two  
2 reports and begin commissioning them in the fairly near  
3 future so that we have materials to work from as soon as  
4 we finish the tissue sample report. We will talk about  
5 that, I hope, today before we leave.

6 The report we are currently working on is the  
7 same one that we have been laboring at and that is on  
8 tissue samples. Today we heard from, among others, Lisa  
9 Eiseman who has been trying to find out what kinds of  
10 tissues, how many are held by whom.

11 And has the handout been distributed to the --

12 DR. NORRIS: Yes.

13 DR. MURRAY: Good. We are up over the 100  
14 million mark. In fact, if you count the number of  
15 specimens we are up well over 200 million and we should  
16 note that at every step Elisa has taken very conservative  
17 numbers, that is she has used low end estimates for many  
18 of these subcollections. There is a lot of tissue out  
19 there. Virtually all of it seems to be identified, that  
20 is to have some personal information, identifiable  
21 information with it.

22 I do not know if any --

23 MS. CHARO: Does this include the Publisher's  
24 Clearing House sample?

25 DR. MURRAY: No, this does not include the

1 Publisher's Clearing House sample. I have got a patent on  
2 that and --

3 (Laughter.)

4 DR. MURRAY: We also had some very interesting  
5 comments, things that I had not anticipated. What is not  
6 in here are the pathology specimens held, for example, by  
7 community hospitals in their pathology labs. And the  
8 question was raised, "Well, will those samples ever be  
9 used for research?"

10 And the answer that was given is increasingly  
11 probably yes, at least they may be now -- researchers may  
12 be interested in them and those collections might be more  
13 accessible as health systems tend to aggregate and  
14 community hospitals now become affiliated with academic  
15 medical centers. So it looks like much of these -- many  
16 of these materials might, in fact, at least be possible  
17 subjects of research.

18 Now, I am going to proceed to just talk  
19 briefly about the people who spoke today. So why don't I  
20 invite other members of the Genetics Subcommittee to add  
21 anything they want about Elisa's presentation.

22 DR. COX: Tom, I will just add one thing and  
23 that is that there is in addition to a ton of samples, the  
24 vast majority of those samples are the ones held in sort  
25 of university based pathology departments.

1 DR. MURRAY: Right.

2 As you know, we -- excuse me. As you know, we  
3 commissioned a series of mini-hearings. We chose the  
4 mini-hearing format rather than say a standard opinion  
5 poll for a number of reasons but I think the most  
6 compelling of which is that asking people questions say  
7 over the telephone is not very useful if people do not  
8 know what you are talking about. So the mini-hearing  
9 format provides an opportunity to educate people a bit  
10 about what it means to have tissue samples out there and  
11 how they are gathered, et cetera.

12 I, at least speaking personally, have been  
13 very pleased with what we have ascertained through the  
14 mini-hearing procedure. We had a report, I think  
15 essentially the final report today, from Dr. James Wells  
16 and associates, including Henrietta Hyatt-Knorr and Sean  
17 Simon, who have attended the mini-hearings.

18 And just very briefly, among the things that  
19 the mini-hearings disclosed were that most people have not  
20 the foggiest idea that they consented to having their  
21 tissue samples used in research. The great majority of  
22 them did this through clinical procedures, surgery or  
23 biopsy or some such thing.

24 If people are asked what happened to it they  
25 say it was thrown away or otherwise disposed of. People

1        seem to want to be asked for consent although they are  
2        fairly willing to have the tissue used for legitimate  
3        purposes once they have been asked for and given their  
4        consent, which arguably they have but they do not remember  
5        doing so.

6                    Also, to the extent that they have expressed  
7        sentiment, people at the mini-hearings indicated that they  
8        wanted to have the tissue used in research. In fact, we  
9        found a generally favorable attitude towards scientific  
10       research and a desire to see the tissue if it is going to  
11       be kept to be used for science.

12                   The public perceives a benefit from research.  
13       On the whole it did not matter whether the research was  
14       sponsored by the government or by some private source.  
15       The Cleveland group, which I attended, may have been an  
16       exception there. Nor did it appear to make a great deal  
17       of difference whether the research took place in an  
18       university setting or in another setting, including an  
19       industry setting.

20                   The key seemed to be what useful things come  
21       out of it like new drugs.

22                   On the issue of privacy discrimination there  
23       was a general mistrustfulness in the sense that by and  
24       large people could not name one profession, group, agency,  
25       whatever, that they would trust completely to guard their

1 privacy and protect them against discrimination. You  
2 might call this the X Files factor.

3           They did not have a problem with linking the  
4 tissues to data so long as their personal identity could  
5 then be protected in the research. There was a general --  
6 there seemed to be a general sentiment that if the  
7 researchers learned something that might be significant to  
8 the individual they would like to have an opportunity to  
9 know about that. Now there is a question there obviously  
10 between protecting individuals' privacy, which you can do  
11 better if you sever the link, and retaining the ability to  
12 walk back and say that this sample with this particular  
13 characteristic came from this individual.

14           There is no question the villains in the piece  
15 in the public's eye are insurers and employers. They  
16 definitely do not want them to have access to whatever  
17 genetic information or other information might be created  
18 by virtue of being a research subject.

19           We asked about stigmatization of ethnic  
20 groups. We found that less concern than I think the  
21 scholarly literature would have suggested would exist.  
22 Including groups that were very cognizant of things like  
23 the Tuskegee study, the radiation study in Cincinnati.  
24 The attitude seemed to be as much we could learn something  
25 that might help us as it was that we need to guard against

1       victimization in research. So again the favorable view of  
2       research seemed to overcome most of the fear that the  
3       information generated by research would be used to then  
4       stigmatize the disadvantaged.

5                       We asked about third party concerns. There  
6       was a pretty clear consensus among our participants in the  
7       mini-hearings you tell me, not my family. That is you  
8       leave it up to the person whose tissue was studied whether  
9       they want to disclose whatever was learned to other family  
10      members.

11                      If the person were incompetent that was not a  
12      problem for most people. You ask the appropriate guardian  
13      of the individual. If you ask them about safeguards they  
14      have the concern about privacy. They were not sure who  
15      they could really trust to protect their privacy entirely.

16                      Although people were, with rare exceptions,  
17      not familiar with the concept of the IRB. They knew the  
18      idea of a research ethics committee and they thought it  
19      was a very good idea. When we asked them who they should  
20      put on the research ethics committee it was very clear  
21      ethical people ought to be on the research ethics  
22      committee, which they could distinguish from ethicists.  
23      It is not the same thing necessarily. Present company  
24      excluded, of course.

25                      They are very astute about the possibility of

1 conflict of interest and they said they definitely wanted  
2 members of the ethics committee not from the organization  
3 doing the research. My guess is the sort of single public  
4 representative, which the IRB regs seem to require, is not  
5 adequate.

6           Lastly, there was some spontaneous sentiment  
7 that we ought to at times have a representative of the  
8 group actually on the study. Just some kind of community  
9 or group involved in at least the consideration of the  
10 protocol.

11           The methodology of the mini-hearing is not  
12 perfect. We do not have a random sample of the American  
13 population here or anything closely -- anything remotely  
14 resembling that. But we got a good sense of what  
15 different groups of Americans of different ages, male and  
16 female, different backgrounds from different parts of the  
17 country felt.

18           Many commonalities, not universal agreement,  
19 but we felt it was -- I will speak for myself. I thought  
20 it was very helpful to hear these reports in some cases  
21 firsthand but in other cases through the group doing the  
22 research for us about what people really cared about. How  
23 they understood what went on, what they did not know about  
24 it, and what they wanted to see happen. I feel like it  
25 was a very helpful process. And it may be that for future

1 commission reports the mini-hearing format is something we  
2 would like to modify perhaps but put in play.

3 I will just very quickly mention the three  
4 other parties who spoke with us were Sherry Alpert who is  
5 here, I believe, still. Sherry continued her work on  
6 privacy and the analysis of stored tissue. Sherry is a  
7 privacy expert and policy analyst and has provided us a  
8 very useful background paper. Sherry has particularly --  
9 I think one of the most original parts of her paper was  
10 trying to sort of flush out the notion of group privacy  
11 interests and group interests.

12 Robert Weir returned to give us his paper  
13 again on ethical issues. He came with rather short notice  
14 to the prior meeting of this commission. He has had a  
15 chance to complete his paper. It is also very useful.

16 And Marc -- when we broke for this luncheon  
17 meeting Marc Sobel and Fran Pitlick, both representing --  
18 both pathologists and representing professional  
19 organizations of pathologists, were responding to a  
20 request we made of them as to whether the idea that Zeke  
21 had proposed and that the subcommittee has been, I think,  
22 embracing of a kind of one way permeable law through which  
23 you would have the tissues which are themselves good  
24 identifiers as virtually all tissues are we discovered.  
25 If someone wants to use them for research you have some

1 process and some barrier so that what goes forward to the  
2 researcher is not the identified tissue but is a sample  
3 with the other information that is needed but without  
4 specific identifiable information.

5 We asked Marc and Fran if this were  
6 practicable and how one might do it and we were in the  
7 process of talking with them and hearing their ideas when  
8 we had to break for this.

9 That is where we are. I invite other members  
10 of the subcommittee to add to that and members of the  
11 commission in general to say anything they want.

12 Rhetaugh?

13 DR. DUMAS: Well, I have a question. I am  
14 somewhat embarrassed because I feel I should know it  
15 coming from a large medical enterprise. How are decisions  
16 made about what tissues to store and which ones to  
17 discard? Do you know?

18 DR. MURRAY: Well, probably Marc or Fran could  
19 give you a more precise rendition but I will give you the  
20 quick one. If it is for -- if the tissue was taken as a  
21 part of a clinical procedure it may well be a matter of  
22 law in your state that you have to keep certain parts of  
23 that, certain samples of the tissue.

24 DR. DUMAS: For a certain period of time.

25 DR. MURRAY: So quality control -- yes. It

1 might be for a specific period of time but they tend to  
2 hang on to these samples for long periods of time. The  
3 samples, I guess, range from --

4 DR. SOBEL: Two to twenty years.

5 DR. MURRAY: Two to twenty --

6 MR. CAPRON: That is what the law --

7 DR. SOBEL: Depending on the state laws.

8 DR. MURRAY: Yes. But some of the collections  
9 are 100 years old.

10 MR. CAPRON: This would be the pathology  
11 specimens.

12 DR. DUMAS: Pathology. They have to send that  
13 -- I know they have to send specimens to pathology. I did  
14 not know how long they keep them, where they keep them,  
15 what determines whether they keep them two years or ten  
16 years.

17 DR. MURRAY: Yes. I think what determines it  
18 is they have a minimum number of years that would be  
19 specified by statute. But as far as I know there are no  
20 laws that require them to dispose of the tissues after  
21 that time.

22 DR. DUMAS: I see.

23 DR. MURRAY: And I suppose they are generally  
24 kept. Is that true, Marc?

25 DR. SOBEL: They are generally kept if there

1 is potential future use for the samples and it is limited  
2 by the amount of storage space that is available so there  
3 are many places that are not able to keep these samples  
4 beyond the required limits because of storage.

5 DR. DUMAS: And right now do the patients from  
6 whom the samples come sign releases routinely that their  
7 tissues can be stored and kept and used?

8 DR. MURRAY: Yes, I will invite Elisa if she  
9 wishes to add to this but my understanding is certainly  
10 within the recent years or decades people have signed  
11 things. But typically it works this way, you get a page,  
12 sign the consent for the procedure --

13 DR. DUMAS: Yes.

14 DR. MURRAY: -- and then underneath it is  
15 another sentence that says can we use your tissue for  
16 research or education, and people sign that, too. You ask  
17 them afterwards do they remember signing this and I think  
18 the --

19 DR. DUMAS: No, they do not.

20 DR. MURRAY: -- answer is no.

21 DR. DUMAS: I have had surgery. I do not ever  
22 remember seeing that statement.

23 DR. MURRAY: Well, a family member of mine  
24 went through --

25 DR. DUMAS: I hope I will not have to look for

1 it.

2 DR. MURRAY: Yes. A family member of mine  
3 went through a biopsy and I was present with this  
4 individual and this individual had no recollection having  
5 just signed it of even seeing it.

6 DR. DUMAS: Right, but it was there. It was  
7 on the form. Okay.

8 DR. MURRAY: Yes.

9 DR. DUMAS: Thank you.

10 DR. MURRAY: Alex?

11 MR. CAPRON: From your description of people's  
12 response at the mini-hearings I had the impression which  
13 may be totally erroneous that these were people selected  
14 because they had some experience in having tissues stored  
15 or was this just a random sample of people in Cincinnati  
16 and wherever else you were?

17 DR. MURRAY: Right, not a random sample.

18 DR. EMANUEL: Either of those were the  
19 universe of possibilities.

20 MR. CAPRON: Okay. What was the group that  
21 was --

22 DR. EMANUEL: We have had six of them, seven  
23 of them, seven hearings, and there have been all sorts of  
24 different groups but some people who have had surgery,  
25 some older people. I mean, more convenient samples if the

1 way they are being described. They are not random. That  
2 is for sure.

3 DR. MURRAY: Right.

4 DR. EMANUEL: And they are not only people who  
5 have had biopsy samples.

6 MR. CAPRON: Because Tom's description that  
7 the participants, which I guess means some subgroup, who  
8 said, "Yes, I have been through this," a la what Rhetaugh  
9 was just saying, "But I do not remember it."

10 DR. EMANUEL: Right.

11 MR. CAPRON: Okay. And will we get a report?

12 DR. HYATT-KNORR: Yes, you will.

13 MR. CAPRON: Giving us the details.

14 DR. EMANUEL: Actually in the notebook --

15 MR. CAPRON: I did not read through all the  
16 materials for your subcommittee because there are a lot to  
17 read for our's.

18 (Simultaneous discussion.)

19 MR. CAPRON: I have not read through all the  
20 transcripts of your subcommittee either but I would like  
21 to do that in some other life.

22 DR. EMANUEL: I think it is --

23 (Simultaneous discussion.)

24 DR. MURRAY: I am proud of Alex's candor. I  
25 think that is a good example.

1 (Simultaneous discussion.)

2 DR. MIIKE: Alex, the way they were picked  
3 were very different but in any group like that there are  
4 always people who have been to the hospital and had  
5 surgery. So they are recounting if they had specific  
6 knowledge and recounting from their own specific  
7 experience.

8 DR. EMANUEL: Tab C, sorry.

9 MR. CAPRON: Tab C.

10 DR. MURRAY: They were not quite a convenient  
11 sample of the -- they were not just randomly chosen as  
12 people. In different areas in different cities we went  
13 after different kind of groups, whether it be in terms of  
14 age or ethnicity or some other thing. But we wanted to  
15 try to get a variety of people and not have, you know,  
16 just go to seven cities and basically ask the same people  
17 at seven different places. That was less interesting to  
18 us than trying to get different groups.

19 MR. CAPRON: And they were -- because they  
20 were asked a standardized set of questions that is how you  
21 get comparable information.

22 DR. MURRAY: There were scenarios that --

23 DR. HYATT-KNORR: We did not ask the specific  
24 questions per se. I mean, this was not a survey. But  
25 there were scenarios and they discussed the scenarios

1       amongst each other and not everybody necessarily responded  
2       to the same issue. But they were very comparable from one  
3       set to the other.

4               MR. CAPRON: So the things that are said --  
5       are called issues are an abstraction of what the issue  
6       would be from one of these scenarios in effect.

7               DR. MURRAY: What we had, Alex, was we started  
8       out with a set of issues that we thought ought to be  
9       addressed in any of these and then scenarios were  
10      developed in an effort to make sure that each of the  
11      issues would be at least raised. They were then -- I only  
12      attended one mini-hearing so I can tell you how that one  
13      went. We did not need to use all of the scenarios to get  
14      at all the issues because people would spontaneously start  
15      talking about something that we thought was going to be  
16      raised say in scenario five but they were already there by  
17      scenario three.

18              So in every grouping each of the issues I take  
19      it came up for that area but often the participants raised  
20      it without our having to.

21              DR. EMANUEL: You have a transcript outline  
22      and they try to go through it all but they do not  
23      necessarily have to ask it all.

24              DR. HYATT-KNORR: If there is anything else  
25      that you want to know, assuming that it is in the

1 information, this is a draft and, you know, if there is  
2 anything that you think ought to be addressed in addition  
3 please let me know soon.

4 MR. CAPRON: Okay.

5 DR. MURRAY: Diane?

6 DR. SCOTT-JONES: I had some questions about  
7 the mini-hearings also but Alex has already asked most of  
8 them and you have already answered them. What I will go  
9 ahead and ask is how easy was it to get this accomplished?  
10 How easy was it to get the group and to get the whole  
11 thing done?

12 DR. MURRAY: It was very easy. I just told  
13 Henrietta to --

14 (Laughter.)

15 DR. SCOTT-JONES: Well, I am recommending that  
16 we might want to do it so just on a scale from one to  
17 five.

18 DR. HYATT-KNORR: I think finding the  
19 participants was relatively easy even though we had an  
20 extremely tight time frame. We might have wanted to have  
21 done things a little differently if we had had more lead  
22 time. But getting people from the public to participate  
23 in addition, which is what we had hoped, even through  
24 advertising did not yield very many responses. Does that  
25 answer your question?

1 DR. SCOTT-JONES: Yes.

2 DR. MIIKE: Just to expand on that, these were  
3 mini-hearings but the public was invited. The problem is  
4 how do you tell the public what this thing is about. I  
5 mean, that was very hard to try to grasp that. That is  
6 all.

7 DR. HYATT-KNORR: But I think even -- no  
8 matter how you tell, I think the general interest of the  
9 public to contribute three or four hours in the evening,  
10 you know, getting there, being there and going back home,  
11 is probably limited and it would not surprise me at all.

12 DR. MURRAY: Developing the scenario work, the  
13 scenarios took some work and I have to credit members of  
14 the commission and also Sean Simon who did a lot of work,  
15 as well as the contracting group who actually executed the  
16 scenarios. So there is a lot of effort that goes into  
17 making it appear effortless.

18 DR. SCOTT-JONES: And then will you then give  
19 some information back to the participants?

20 DR. HYATT-KNORR: They asked for it as a  
21 matter of fact and when we have a final report then we  
22 will go back to them and also when the recommendations in  
23 the report from the commission as a whole eventually is  
24 published we will send it as well. Specifically they were  
25 very interested in it.

1 DR. CHILDRESS: I participated in the one in  
2 Richmond and I was struck with this that they felt they  
3 were participating in an important process and they  
4 actually wanted to get feedback from it. Very strong  
5 interest on their part.

6 MR. CAPRON: Just looking at this quickly, it  
7 would be helpful, I think, since the issues and so forth  
8 are set out in tabular form to have as an initial part of  
9 that table a statement of the numbers of people  
10 participating and the basic demographics, male, female,  
11 broad age groupings. I mean seven people at the Mt. Zion  
12 Congregation Church in Cleveland, ten people in Miami,  
13 fourteen people in Boston and so forth, just so we get  
14 some sense of what we are talking about here. As you look  
15 down a column and it says "most people" or whatever if you  
16 are talking about sample size, what is the make up.

17 DR. MURRAY: Some things we can tell you.  
18 Things like age we did not ask people.

19 MR. CAPRON: But you represented that this was  
20 broadly representative as to --

21 DR. MURRAY: Yes. But I do not know the  
22 precise age of the people there.

23 DR. HYATT-KNORR: But we observed and we  
24 should know some other demographics, but to the extent  
25 that we have it and they match from one observer to the

1 other we will be happy to add those.

2 DR. CHILDRESS: Am I wrong in remembering a  
3 discussion though that we could not actually go the route  
4 of getting all this information without converting this  
5 into a kind of survey that would take a very different  
6 direction. Am I wrong in remembering that?

7 DR. NORRIS: Yes, you have to get special OMB  
8 clearance.

9 (Simultaneous discussion.)

10 DR. HYATT-KNORR: These are not questions that  
11 we asked and certainly we are not going back and asking  
12 them but at the same time the observers did write down  
13 some general characteristics.

14 DR. CHILDRESS: But I think it goes to the  
15 larger issue that Alex is raising, sort of how one uses  
16 it. I understand that the use of the focus group and we  
17 are limited than to be able to say X number of people said  
18 the following. Is that --

19 DR. HYATT-KNORR: Oh, that is a different  
20 issue.

21 (Simultaneous discussion.)

22 MR. CAPRON: I am not asking for the breakdown  
23 on the answers. I just want to know --

24 DR. CHILDRESS: But your interest in part and  
25 where the answers that came out relative to age and gender

1 and so forth, I think, is the question you are asking.

2 MR. CAPRON: Well, it was represented to us  
3 that the group was broadly representative of the  
4 population although not randomly chosen. The groups are  
5 small enough that I would be very worried about putting  
6 much of any weight on this. Clearly if there had been a  
7 very harsh reaction uniformly across all these groups on  
8 some point, that they had been very upset or extremely  
9 supportive, I do not mean harsh, I mean pronounced  
10 reaction in one way or another, that gives you a little --  
11 some indication. But beyond that when a self-selected  
12 group of seven people are at the Mt. Zion Congregational  
13 Church in Cleveland I do not know what I want to do with  
14 that information.

15 DR. EMANUEL: Well, but in all fairness, first  
16 of all, there is some sense and I think I did do a  
17 reasonable job, you know. In the San Francisco group  
18 there was an effort to get young people. In the Miami  
19 group we heard that most of them were retirees even though  
20 they were quite active retirees. So in some sense we have  
21 some assessment of that range of ages as well as ethnic  
22 groups and socioeconomic groups.

23 Second -- I mean, part of what we have heard  
24 from Jim Wells and from Henrietta and from Sean is the  
25 fact that there are consistent themes which seem to go in

1 the sort of 80, 90 percent response categories and that is  
2 helpful, I think. That is a pronounced kind of  
3 understanding. And that has been, I think, helpful. And  
4 as was noted in our hearings today some of those go  
5 against the biases we went in with. We, the  
6 commissioners, as well as the survey people.

7 For example, how concerned people are about  
8 confidentiality versus medical practice. Now one of the  
9 suggestions we have made is that maybe we could formulate  
10 some questions that at some future date if we are ever  
11 going to do a survey or someone else could do a survey we  
12 could add on to a survey, or we might get some data.

13 MR. CAPRON: Yes, I take the point. I always  
14 remember the kinds of studies like the one the March of  
15 Dimes did a few years ago on genetics where they got 75,  
16 85 percent of people saying they were in favor of genetic  
17 engineering and a comparable number saying they did not  
18 know what it was.

19 Now when you get those kinds of results you  
20 are obviously trying to have some salience in what you  
21 were doing and make it a little bit real to people. That  
22 is why I wondered when you are describing were these all  
23 people who had at least had some biopsy specimens stored  
24 so that they would immediately say, "This is not a general  
25 issue. You took something from me. Oh, it turns out you

1 kept it. I did not know that. Now how do I feel about  
2 your doing things with it? Well, what are the kinds of  
3 things you can do? What can you find out?"

4 And then the question is how clear what you  
5 can do to it and what implications that has to people as  
6 they focus on it because if we are going to say 80 to 90  
7 percent of them said, "Let's go research. It is great and  
8 we are not really worried about it," how much they know to  
9 be worried to start off with affects my sense of whether  
10 or not I should take that as a result that is very  
11 reassuring that as you say maybe I go into it, you went  
12 into it with greater concerns than the public has. Or do  
13 I simply say, well, it is sort of interesting but it does  
14 not tell me much because it says people who -- again like  
15 the other survey -- 85 percent will say yes to it because  
16 85 percent of them do not know what it is.

17 So, I mean, I do not know what -- and maybe if  
18 I have been hearing from Dr. Wells and others who have  
19 spent more time on this, and I will read over these  
20 materials more carefully, I would have more reassurance  
21 that I should conclude anything from this process other  
22 than it --

23 (Simultaneous discussion.)

24 DR. MURRAY: Okay. A lot of people want to  
25 speak. Let's start in a more organized way.

1 Arturo?

2 DR. BRITO: Having attended the Miami forum I  
3 think that there is a little bit of clarification. Had I  
4 not attended I would be -- I think I would be in the same  
5 ball park as Alex is in right now.

6 But the March of Dime survey is just that. It  
7 is a survey. It is very leading questions. The way Dr.  
8 Wells did this hearing and the other hearings I assume is  
9 they were very open ended and these were forums. So I do  
10 not think we are trying to get statistical numbers. Even  
11 80 to 90 percent, whatever numbers like that. So I think  
12 we just have to keep in mind these are forums and I was  
13 very impressed with the way these were held and the open  
14 ended question type of format even though there was a  
15 script scenario that was not always attended to. A lot of  
16 these responses were very spontaneous. I think what I am  
17 hearing is that across the country regardless of the group  
18 a lot of those spontaneous responses were very similar.

19 Is that right?

20 DR. MURRAY: Yes. On quite a number of  
21 questions they were similar and sometimes, as Zeke has  
22 mentioned, in ways that might have surprised you or me  
23 before we --

24 DR. BRITO: Right. So it was very informative  
25 to me to hear some of those responses. So I think it is

1 more just general information.

2 DR. MURRAY: We recognize this is not a random  
3 population sample from which one can generalize. But it  
4 gives us some notion of how people are constructing the  
5 situation and what meanings are taken out of it and what  
6 they care about. We will use it as that.

7 DR. COX: They were not just self-selected  
8 either. So it was a fix. But not people that just had  
9 raised their hand and said that they had something they  
10 wanted to talk about.

11 DR. MURRAY: Bette?

12 DR. KRAMER: Tom just covered the point I  
13 wanted to make.

14 DR. MURRAY: Alta?

15 MS. CHARO: Generally, not facetiously, but to  
16 set up things as a piece of performance art for the Human  
17 Subjects Group, who among you decided whether or not this  
18 was human subjects research and, if so, whether or not it  
19 was exempt, and who among you knew which IRB you should go  
20 to if it was not exempt since you were recruiting people  
21 for a seemingly systematic investigation of their  
22 attitudes?

23 DR. EMANUEL: Well, it was precisely not a  
24 seemingly systematic investigation of their attitudes.

25 MS. CHARO: So you are the one who made the

1 determination it was not research?

2 DR. EMANUEL: No, I did not.

3 MS. CHARO: Who did?

4 DR. EMANUEL: As a matter of fact, Alta, I  
5 believe I raised that question, too.

6 MS. CHARO: Just because -- I mean, we are  
7 talking to agencies about their ability to know what to do  
8 when and I was curious how you all knew what to do when.

9 DR. EMANUEL: Well, I do not remember the  
10 details, Alta. We did have some discussion of that when  
11 we consulted people about it, whether it was exempt or  
12 not. We just did not make the decision. But we could  
13 check exactly who we went and spoke to about it.

14 DR. \_\_\_\_\_:

15 I think part of the issue was we are  
16 prohibited from doing -- not prohibited, but the process  
17 of doing a survey. That is why, for example, the  
18 sociodemographics could not be asked. It was decided that  
19 could not be asked. That was to make it -- also, it was  
20 decided to make it open so that members of the public  
21 could come. So it was more hearings. That is why we are  
22 calling it mini-hearing or focus groups. And, you know,  
23 on the other hand there was an effort to make a sort of  
24 systematic use but it is not generalizable knowledge. It  
25 is certainly not publishable.

1                   So, you know, I am just telling you I thought  
2 the same question was -- I raised the same question with  
3 Henrietta and I think, you know, part of the -- I am just  
4 giving you part of the rationale that goes into it.

5                   DR. SHAPIRO: Diane?

6                   DR. SCOTT-JONES: It is a little bit  
7 concerning, though, because even though you are saying  
8 that you did not assess the demographics of the persons  
9 who attended you are still making statements about it and  
10 saying that it varied in age and ethnicity and so forth  
11 and you still sometimes are using language of quantitative  
12 research like saying 80 to 90 percent said or did X. So  
13 you are kind of converting nonresearch into research.  
14 Well, I will stop there.

15                  DR. SHAPIRO: Any other questions?

16                  DR. HOLTZMAN: So when we systematically ask  
17 each other our opinions around this table then we engage  
18 in human subjects research?

19                  (Simultaneous discussion.)

20                  MS. CHARO: You might be.

21                  (Simultaneous discussion.)

22                  DR. MURRAY: I agree that the perfectly clear  
23 and bright line might be difficult to draw between  
24 hearings and research but we did it in the spirit of good  
25 and the idea was to see how do people feel about this and

1 we did not want -- since we did not want to go to  
2 basically hear the same voices every time, we thought that  
3 added less insight into how a broad variety of Americans  
4 might feel, we purposely set out to go to different  
5 communities and talk with different groups. But  
6 apparently it is not counted as research, however these  
7 things are counted. But, yes, did we try to learn  
8 something about how the American people felt, sure. But  
9 one can do that by a hearing process.

10 Zeke is right. There is no way on this earth  
11 that this would ever pass peer review as a piece of  
12 research. That is one criteria. So I guess it could be  
13 really lousy research --

14 (Laughter.)

15 DR. MURRAY: That is the principle I want to  
16 articulate here. It was done in the spirit of hearings.  
17 Eric?

18 DR. CASSELL: Well, this is just anecdotal.  
19 This was my introduction to ethics in January 1971 when  
20 the Hastings Center had this research group on death and  
21 dying and I was presenting some material. That was my  
22 first appearance there. And Henry Beecher said to me, "Do  
23 you have permission for this?" I never even heard that  
24 word before. I did not know what he was talking about.  
25 So in point of fact we finally decided I did not need to

1 but on the way there I got shook up by the process.

2 DR. MURRAY: Larry?

3 DR. MIIKE: Yes. I hope we do not use a  
4 double standard about what we use collectively and  
5 individually in making our decision. If we applied a  
6 rigorousness and most -- I would say 90 to 95 percent of  
7 the kinds of things we are considering, including the  
8 contracting papers, would not meet the test. So I would  
9 say that all of you read what happened at our mini-  
10 hearings, take what you want out of it, put that into your  
11 decision making process. We are not asking you that we as  
12 a group must consider this or reject it. It is just  
13 another bit of information that is floating around.

14 DR. KRAMER: And let me add to that that we  
15 never intended that it be anything that was scientifically  
16 drawn or systematic. It was an ad hoc. It was very ad  
17 hoc. And perhaps when Tom put those numbers on it, 80 to  
18 90 percent, I mean that is just Tom's interpretation of  
19 that because, in fact, the same question was not  
20 necessarily asked at the same time of each group so there  
21 really is no way of putting a number on it.

22 DR. MURRAY: I tried systematically to avoid  
23 assigning --

24 DR. EMANUEL: He is a philosopher. I put the  
25 80 to 90 percent on it.

1 (Simultaneous discussion.)

2 DR. MURRAY: Okay.

3 MR. EMANUEL: I would add, though, we are -- I  
4 mean -- you know, the point of full disclosure, I mean we  
5 are calling, for example, pathology departments and asking  
6 them about their store -- you know, what kind of samples  
7 they have. Now I do not think that is going into another  
8 report. I do not -- we did not get IRB approval for that  
9 either. It is not a systematic survey. It is an attempt  
10 to get a ball park story. But I think, you know, if one  
11 has concerns that this is going to qualify as research  
12 that also is -- any time you ask doctors questions about -  
13 -

14 MS. CHARO: Zeke, my goal was not to challenge  
15 as to whether it is or not. It was to have us notice that  
16 we are a government agency or a government entity and that  
17 we are engaged in things that one could wonder are  
18 research or not and to ask ourselves how are we dealing  
19 with that question specifically because the human subjects  
20 people are about to talk about how agencies deal with that  
21 question. My only point was to be self-reflected and to  
22 have some understanding of what is going on throughout the  
23 government.

24 DR. SHAPIRO: We did not think --

25 (Simultaneous discussion.)

1 DR. SHAPIRO: -- we did not discuss our  
2 intention. We did not pass --

3 (Simultaneous discussion.)

4 DR. COX: But, Harold, for me I think that  
5 this is a very timely discussion, particularly for those  
6 of us in the Genetics Subcommittee, whether it is possible  
7 to draw sharp lines between what is research and what is  
8 not research because clearly there is an academic standard  
9 of what is research, but there is human activity too. So  
10 that if you draw too sharp a line as we found in the past  
11 couple of minutes it becomes an interesting dilemma.

12 DR. SHAPIRO: Thank you.

13 Other comments or questions?

14 Tom, anything else?

15 DR. MURRAY: Thanks very much.

16 DR. SHAPIRO: Thank you. Regarding -- just  
17 returning for a moment before we break to go back in the  
18 subcommittee sessions -- the January meeting, as I said  
19 before, is open to either of the subcommittees to present  
20 material to NBAC as a whole. In February, of course, we  
21 really must have material really quite while perhaps still  
22 not final. So depending, Tom, on how quickly you and your  
23 subcommittee move we are certainly prepared in January to  
24 hear from your group if you are -- at whatever stage you  
25 are at. So we -- the schedule remains pretty much as we

1 indicated before.

2 DR. MURRAY: Will there be any time for  
3 subcommittee meeting in January?

4 DR. SHAPIRO: I think we could have some time  
5 for subcommittee. We will keep in touch with the  
6 subcommittee chairs and see if we need to make -- have  
7 notices and so on.

8 DR. HYATT-KNORR: But the problem is that we  
9 really need to decide these things now and that those will  
10 be for much of next year because we will have a support  
11 contract and we need to make arrangements for rooms and  
12 other such things way ahead of time. It is very difficult  
13 for us to continue to do it as late as we have.

14 DR. MURRAY: Well, I think we should get a  
15 very flexible support contract.

16 DR. CHILDRESS: I agree. It has to be at  
17 least for when we come back in January. We will not know  
18 for a while yet, I think that Tom will not either, exactly  
19 whether it will be mainly a subcommittee or --

20 DR. SHAPIRO: We can always have an extra room  
21 or two set aside even if we do not use it.

22 MR. CAPRON: Is not the discussion that we  
23 have just had, however, in which several of the questions  
24 to your committee came from the people who are not on it  
25 and the questions to Jim came from the people who are not

1 on his indicative of the value of having more of our time  
2 together as a whole group and that the very way you  
3 expressed it, both of you expressed it about these -- when  
4 we get to them there are going to be preliminary thoughts  
5 and questions and some tentative conclusions and so forth.

6 The more time we have to digest and think  
7 about that and have a discussion and then come back to it  
8 in another month, instead of saying, well, we are going to  
9 do it in February so we do not need to do it in January,  
10 in other words -- or the faster we can have something  
11 ready, even however preliminary it is, and then know that  
12 we are not going to dispose of it at that meeting, that it  
13 is worth having more than one time as a whole group to  
14 chew it over so that we who have not been through the  
15 process can be better educated.

16 DR. EMANUEL: Can I second that?

17 DR. SHAPIRO: I think you are going to have  
18 more than one time. Nothing I have said --

19 MR. CAPRON: No, no, I was just encouraging --  
20 I was agreeing with the notion that rather than giving up  
21 time in January for more subcommittee process that we plan  
22 to have a good deal of time for discussions of wherever  
23 the subcommittees are even though we could on some  
24 efficiency level say, well, we get more done if we were  
25 meeting in subcommittees.

1 DR. CHILDRESS: That is what is planned.  
2 Even if we are still fairly tentative let's say on the  
3 recommendations.

4 MR. CAPRON: Yes, exactly. Even if we are  
5 very tentative our direction might be changed as a  
6 subcommittee and it was only that Tom was now saying could  
7 we have some time in subcommittee and I was encouraging  
8 the plan that you originally endorsed that was going to  
9 resist that, that inevitable pull to say, well, we have  
10 more work to do as a subcommittee.

11 DR. EMANUEL: Can I -- if we think -- if we  
12 come back at least on the Genetics Subcommittee, if we  
13 want to release a report in February and we want to have  
14 the whole commission on board, that means that the -- I  
15 mean, January is very late in that process and that means  
16 we have to get our recommendations done by this December  
17 meeting, not done but at least in some vague format so  
18 they can be debated and argued about.

19 MS. CHARO: And, indeed, one of the things  
20 that we risk as we go on too long is that you will get  
21 conclusions that some committee gets totally invested in.  
22 You want to bring them to everybody at a time when  
23 everybody, including those who worked on it, are willing  
24 to step back and say, "Well, maybe we will change it."

25 DR. DUMAS: A good point.

1 DR. MURRAY: Our process is itself a kind of  
2 experiment. Meeting as we have largely in subcommittees  
3 has enabled efficient work within the subcommittees but it  
4 has had this problem of the other members of the  
5 commission do not know necessarily what the subcommittees  
6 are up to. I do not know what would work best.

7 What I was hoping for is we might need an hour  
8 either at the beginning or at the end say of the January  
9 meeting to reflect on either what is about to happen, make  
10 some last decisions or to sort of try to incorporate the  
11 whole committee. I was not planning -- I was not  
12 proposing that we do it like we did today but I think it  
13 would be useful to have the option at least, I do not know  
14 how Jim feels, of at least a little time as a  
15 subcommittee.

16 DR. CHILDRESS: And perhaps I could imagine a  
17 scenario in which it would best at the end for the  
18 subcommittee to think about how to revise in light of the  
19 discussion that obviously will be helpful but will not be  
20 as complete whereas you will not be able to get everything  
21 done in that context.

22 DR. SHAPIRO: The key issue here is to be sure  
23 that -- is to be sure that the subcommittees have a  
24 discussable a set of propositions for us no later than our  
25 January meeting and at our February meeting. Just when

1 the reports are actually issued will depend somewhat on  
2 just what happens at those meetings and we may feel just  
3 delighted with it all or you might feel that you really  
4 have to do something further. And so I am trying -- I was  
5 trying to struggle for a balance between, you know, let's  
6 get this done but not doing something that you would not  
7 feel good about. So, you know, we need a certain balance.

8 Okay. Other questions?

9 MS. CHARO: Just a general question?

10 DR. SHAPIRO: Yes.

11 MS. CHARO: Our web site, I had occasion to  
12 revisit it after it came up on e-mail lately and was --  
13 are we going to put the transcripts of the meetings up and  
14 the meeting dates and the agendas for the meetings, and  
15 all the other public material, or has that web site been  
16 abandoned basically because it turned out not to have a  
17 lot of our stuff that is I know available electronically  
18 posted on it?

19 DR. SHAPIRO: I think the web site has not  
20 been maintained appropriately in my view and I think we  
21 ought to either do that or not have it. One of the two.

22 MS. CHARO: I personally would like to do it.  
23 I think it is a great concept and I would love to see it  
24 really do --

25 DR. SHAPIRO: Yes.

1 DR. HYATT-KNORR: We did switch it and we just  
2 recently got a new address and it is in draft and it is by  
3 no means finished nor did we think it was and we do intend  
4 to put these things on. But only very recently did we get  
5 the new address which is very easy for the public to  
6 remember.

7 MS. CHARO: Right, but I think the crucial  
8 thing is the transcripts which have been available  
9 electronically for months and months that are not posted  
10 could be posted in a flash because they exist already and  
11 clearly meeting dates and sites and agendas --

12 DR. HYATT-KNORR: We want to do that.

13 MS. CHARO: Great. Okay.

14 DR. DUMAS: And I thought that the statement  
15 that went from Harold and the two subcommittee chairs  
16 would be a good one. Alex has trouble with a statement in  
17 there but I would think that if that could be added that  
18 would be a very good piece for the public who would want  
19 to -- it is a very succinct statement of what this  
20 committee is -- this commission is all about. He heard  
21 different things about what we decided about. I thought  
22 it was accurate in relation to that statement at issue.  
23 But it seems to me that is something that can be --

24 DR. SHAPIRO: We can discuss that in another  
25 moment. That is another issue.

1 DR. CHILDRESS: Just to add one point in  
2 relation to what Alta just said, e-mail exchange and  
3 looking at the report, and I think there are -- you know,  
4 there are two plausible ways to interpret what we agreed  
5 on.

6 MS. CHARO: Yes.

7 DR. CHILDRESS: At least.

8 (Laughter.)

9 DR. DUMAS: But the public needs to have  
10 something -- a statement that they can look at when they  
11 want to know what is this commission about so they do not  
12 have to read the whole report.

13 DR. SHAPIRO: Well, let's -- that stuff we are  
14 still discussing and I do not think we want to post  
15 anything right but we can discuss that at some time if  
16 people are interested.

17 Okay. Other issues?

18 If there are no other issues right now I would  
19 propose if the subcommittee chairs agree that we just get  
20 back to your agendas. So if it is necessary you could  
21 take more time or finish early. Either one would be  
22 appreciated. So let's take a -- we only have seven  
23 minutes -- take a break.

24 (Whereupon, the committee meeting adjourned at  
25 1:21 p.m. to resume subcommittee meetings.)

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