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<b>Title</b>	Financial Conflict of Interest in Research Activities Funded through US Public Health Service	<b>Policy:</b>	POL 06017
		<b>Effective Date:</b>	2017-06-14T15:45:13
		<b>Version:</b>	5

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## **PURPOSE:**

This policy defines the requirements and responsibilities associated with identifying and managing financial conflicts of interest to safeguard the integrity of FHI 360 research activities funded through the US Public Health Service (PHS).

## **SCOPE:**

This policy applies to FHI 360 staff, collaborators and sub-recipients receiving funding from, planning to apply for funding from, or have a salary funded by a grant or contract from any US PHS agency (Sponsor). FHI 360 staff, collaborators and sub-recipients funded through the National Institute of Allergy and Infectious Disease Division of Acquired Immunodeficiency Syndrome (NIAID DAIDS) clinical research networks, such as HIV Prevention Trials Network, the International Maternal-Pediatric-Adolescent AIDS Clinical Trials Network, Microbicide Trials Network (this list is not exhaustive) are deemed to comply with this policy as long as they complete the requirements through the NIAID DAIDS central network management as described in the document entitled “NIH HIV/AIDS Clinical Trials Networks, Financial Disclosure and Conflict of Interest Guidelines, Standard Operating Procedure” (see References).

## **DEFINITIONS:**

1. *Financial Conflict of Interest (FCOI)* – A significant financial interest of each individual who may directly and significantly affect the design, conduct or reporting of PHS-funded research.
2. *Public Health Service (PHS), hereinafter referred to as Sponsor* - The operating division of the US Health and Human Services Department (HHS) responsible for promoting the protection and advancement of the American population’s physical and mental well-being. PHS includes the following agencies: Agency for Healthcare Research and Quality (AHRQ), Agency for Toxic Substance and Disease Registry (ATSDR), Centers for Disease Control (CDC), Food and Drug Administration (FDA), Health Resources and Services (HRSA), Indian Health Service (IHS), National Institutes of Health (NIH), Office of Inspector General (OIG), and Substance Abuse and Mental Health Services Administration (SAMSHA).
3. *PHS-Funded Investigator* – The Project Director (Project Leader), Principal Investigator, any other person identified by FHI 360 as senior/key personnel and any other person, regardless of title or position, who is responsible for the design, conduct or reporting of research supported through PHS funds.
4. *Research* – A systematic investigation, study or experiment designed to develop or contribute to generalizable knowledge relating broadly to public health, including behavioral and social-sciences research. The term includes basic and applied research and product development. As used in this policy, the term includes any such activity for which research funding is available from a PHS Sponsor through a grant or cooperative agreement, whether authorized under the PHS Act or other statutory authority, such as a research grant, career development award, center grant, individual fellowship award, infrastructure award, institutional training grant, program project, or research resources award.

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5. *Significant Financial Interest (SFI)* – One or more Investigator financial interests (and those of the Investigator’s spouse and dependent children) that reasonably appears related to the Investigator’s institutional responsibilities, and where the value of such Investigator Financial Interest exceeds \$5,000, existing at the date of SFI disclosure and going back 12 months. For avoidance of doubt, SFI does not include: (1) salary, royalties or other remuneration from FHI 360; (2) salary, royalties or other payments from any source other than FHI 360 that, when aggregated for the Investigator, spouse and dependent children in the 12 months preceding disclosure, are not expected to exceed \$5,000; (3) income from seminars, lectures or teaching engagements, service on advisory committees or review panels sponsored by federal, state or local government agencies, an institution of higher education, an academic teaching hospital, a medical center or a research institute that is affiliated with an institution of higher education; (4) an equity interest that, when aggregated for the Investigator, spouse and dependent children, does not exceed \$5,000 in value as determined through reference to public prices or other reasonable measures of fair market value; or (5) income from investment vehicles, such as mutual funds and retirement accounts, as long as the Investigator does not control such fund’s or account’s investment decisions.
6. *Sub-recipient* – Any party that has entered into an Agreement with FHI 360 as a sub-grantee, sub-contractor, collaborator, contractor or consultant

**POLICY:**

1. FHI 360 requires that PHS-funded investigators that receive funding from, plan to apply for funding from, or have a salary supported by US PHS funds comply with the PHS rules on training, disclosure and establishment of financial conflict of interest (FCOI) in research. The following requirements apply in fulfillment of PHS FCOI in research activities:
  - 1.1 Training Requirements
    - PHS-funded investigators will complete a PHS-compliant FCOI training program prior to engaging in a PHS research project and thereafter, every four years (as long as they continue to be engaged in PHS supported research), or immediately if the FCOI policy or the training requirements are modified, or the investigator is found not to be in compliance with this policy or FCOI management plan.
    - FHI 360 PHS-funded investigators shall comply with these training requirements by completing the NIH PHS FCOI training module. The module is named “Financial Conflict of Interest (FCOI)” and can be found at the link below:  
<https://grants.nih.gov/grants/policy/coi/tutorial2011/fcoi.htm>
  - 1.2 Disclosure, Review and Monitoring Requirements
    - PHS-funded investigators will complete a US PHS Significant Financial Interests (SFI) Disclosure Form (APX# 06017\_01) disclosing SFI that could reasonably appear to be related to their institutional responsibilities at the time of the PHS funding application. Further, PHS-funded investigators will provide an updated US PHS Significant Financial Interests Disclosure Form of US PHS funded research, annually or within 30 days of a change in financial status (whichever comes first).
    - FHI 360’s Director, Clinical Regulatory and Compliance (CRC) is the designated official to review SFI disclosures and determines whether disclosed SFI constitute a FCOI.

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- In instances when a FCOI is identified, the Director, CRC will notify the respective Operating Unit (Business Unit [BU], Regional Office[RO], Platform and Portfolio Management[PPM]) Director and the Office of General Counsel, who, in collaboration with the PHS-funded investigator, will develop an FCOI management plan prior to the expenditure of funds and in conformance with PHS standards and other applicable federal and sponsor requirements.
- The Operating Unit (BU, RO, PPM) Director or designee shall monitor PHS-funded investigator compliance with established management plans

### 1.3 Reporting Requirements

- FHI 360 Office of General Counsel or designee shall provide FCOI reports to Sponsors regarding disclosed and identified FCOI in conformance with applicable Sponsor requirements and prior to the expenditure of funds.
- FHI 360 Office of General Counsel or designee shall submit an FCOI report prior to the expenditure of funds, within 60 days after its determination that a new FCOI exists. If an FCOI is not disclosed in a timely manner, FHI 360 shall submit an FCOI report to the Sponsor within 60 days of the discovery, as well as complete a retrospective review of the PHS-funded investigator SFIs within 120 days of discovery of noncompliance.
- FHI 360 Office of General Counsel shall provide annual FCOI reports to the Sponsor addressing the status of the FCOI and any changes to its related management plan.

### 1.4 Sub-recipient Requirements

- Sub-recipients shall provide a certification that their FCOI policy complies with the US PHS FCOI regulation and that their portion of the research project (as detailed in their sub-award agreement) is in compliance with their institutional policies. If an SFI is identified by the sub-award recipient, the entity shall notify the Director, CRC of the existence of the conflicting interest within 30 days of the identification of the interest. In addition, the sub-recipient must certify and assure that any reported conflicting interest has been managed, reduced or eliminated in accordance with US PHS FCOI regulations.
- Sub-recipients that do not have their own FCOI policy may agree to follow and comply with the requirements of the FHI 360 policy on FCOI. FHI 360 will not finalize any sub-award agreement requiring compliance with US PHS FCOI disclosure until the sub-recipient either certifies it has an FCOI policy which it will follow, or in the absence of an internal policy, will comply with the requirements of the FHI 360 FCOI policy.

### 1.5 Public Accessibility Requirements

- In accordance with the applicable regulations this policy is posted on the FHI 360.org external website.
- Information concerning an identified FCOI will be available via written request to the Director, CRC at FHI360. The information will be made available within five business days of such a request and will include the following information:
  - The PHS-funded investigator's name;
  - The title and role of the PHS-funded investigators with respect to the research project;
  - The name of the entity in which the SFI is held;
  - The nature of the SFI; and

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- The approximate dollar value of the SFI or a statement that the interest is one whose value cannot be readily determined through reference to public prices or other reasonable measures of fair market value.

1.6 Compliance Requirements

- PHS-funded investigator(s) working on clinical research projects to evaluate the safety and efficacy of a drug, medical device or treatment who fail to disclose an FCOI, or where an FCOI is not managed in accordance with this policy, shall disclose the FCOI in each public presentation of the results of the research and request an addendum to previously published presentations.
- FHI 360 shall follow Sponsor regulations regarding the notification of the sponsoring agency in the event a PHS-funded investigator has failed to comply with this policy.
- Failure to comply with this policy may result in disciplinary action, up to and including termination of employment at FHI 360.

2. Responsibilities

2.1 Business Development & Diversification is responsible for:

- Informing PHS-funded investigators of the requirement to submit a US PHS SFI Disclosure Form and evidence of completed FCOI training to the Director, CRC - prior to a PHS proposal submission.

2.2 PHS-funded investigators are responsible for:

- Ensuring that all PHS-funded investigators have completed the required PHS FCOI training and declaration requirements before a PHS proposal submission deadline, and for the duration of the project implementation (including extensions with or without funds), as required by US federal regulations; and
- Facilitating disclosure of PHS-funded investigator and sub-recipient investigator FCOIs to the Director, CRC at FHI 360 for the duration of the project implementation (including extensions with or without funds).

2.3 The Director, CRC is responsible for:

- Reviewing US PHS SFI Disclosure Forms and making FCOI determinations;
- Notifying Operating Unit Directors in cases when FCOIs have been identified and requesting development of FCOI management plans;
- Notifying the Office of General Counsel and Operating Unit Directors or their designees when PHS-funded investigators are found to be in violation of this policy for development of mitigation activities; and
- Maintaining records of and related to financial interest disclosures and FCOI determinations for a minimum of three years from the date of submission of the final expenditures report.

2.4 Contract Management Services is responsible for:

- Verifying completion of training and management plans (if applicable) prior to release of funds, and after the proposal has been awarded;
- Obtaining certifications from sub-recipients that such sub-recipient has a PHS-compliant FCOI policy. If the sub-recipient does not have a PHS-compliant FCOI policy, FHI 360's policies will be followed; and
- Verifying that any new personnel who are identified by the Project Director or Principal Investigator as meeting the definition of principal investigator and who have been added to an award (proposal) have the needed FCOI documentation.

2.5 The FHI 360 Office of General Counsel is responsible for:

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- Reporting FCOIs to sponsors according to established sponsor procedures;
  - Providing mitigation reports for non-compliance to sponsors; and
  - Maintaining the required public information on the FHI360.org external internet site.
- 2.6 CRC is responsible for providing technical assistance in the collaborative review of this policy and identifying training options for FHI 360 PHS-funded investigators.
3. This policy does not limit the impact of any foreign laws or regulations, local institutional policies or external sponsor requirements that may be applicable and may impose additional requirements.

*For questions related to this policy, contact: Director, CRC*

#### **RELATED DOCUMENTS:**

##### **1. Policies**

- POL 02004: Conflicts of Interest

##### **2. Standard Operating Procedures**

- SOP 03017: Process for Financial Conflict of Interest Disclosure in Research Activities Funded through U.S. Public Health Service

##### **3. Appendices**

- APX 06017\_01: US Public Health Service Significant Financial Conflict of Interest Disclosure Form
- APXS 03017\_01: FHI 360 Guidance for identifying PHS-funded investigators

#### **REFERENCES:**

1. US Code of Federal Regulations, Title 42: Part 50 (Subpart F): Promoting Objectivity in Research
2. US Code of Federal Regulations, Title 45: Subpart 94: Responsible Prospective Contractors
3. “NIH HIV/AIDS Clinical Trials Networks, Financial Disclosure and Conflict of Interest Guidelines, Standard Operating Procedure. [https://www.hanc.info/smetl/Documents/Cross-network%20FDCOI\\_SOP.pdf](https://www.hanc.info/smetl/Documents/Cross-network%20FDCOI_SOP.pdf), accessed 24 April 2015
4. NIH PHS FCOI resources <http://grants.nih.gov/grants/policy/loi/index.htm>
5. NIH Financial Conflict of Interest training - <https://videocast.nih.gov/summary.asp?live=10752&bhcp=1>

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**POLICY REVISION HISTORY:**

<b>POL#</b>	<b>Date Reviewed</b>	<b>Summary of Changes</b>
125.00	--	New
POL 06017	16 APR 2013	New POL number for EDMS migration
POL 06017	20 APR 2015	Revised responsibilities section and requirements for sub-recipients that do not have their own FCOI policy
POL 06017	2 NOV 2015	Minor change to replace Business Planning and Proposals with Business Development & Diversification on clause 2.1 due to organizational restructuring
POL 06017	2 DEC 2016	Changed designated official to review SFI from Chief Compliance Officer to Director Clinical Regulatory and Compliance. Changed all places where Chief Compliance Officer noted to Director, CRC. Updated link for training information on FCOI. Added clarification in regards to responsibilities for Contract Management Services (CMS).
POL 06017	14 JUN 2017	Minor administrative change to update the link to the FCOI training on clause 1.2.