

Principal Investigator (PI) or Co-Principal Investigator (Co-PI) on NIH-supported SfN grants. This policy outlines the administrative process for identifying FCOIs, promoting and enforcing Investigator compliance with the regulation, managing FCOIs, providing initial and ongoing FCOI reports, and making FCOI and Significant Financial Interest (SFI) information available to HHS.

Supported activities serve as the Institutional Official for this policy and is responsible for ensuring the implementation of this policy. This policy operates in addition to other SfN Conflict of Interest policies by which SfN employees, Council, committee members, and other volunteers must abide.

#### Training (42 CFR 50.604(b))

For each new Investigator for any planned or actual PHS-funded SFN projects, the SfN Institutional Official will inform the Investigator of this FCOI policy, the federal regulation, and the

#### Disclosure (42 CFR 50.603, 42 CFR 50.604)

The Institutional Official will provide a SfN FCOI Disclosure Form to each Investigator. This

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regulatory definition of SFI outlined in

ies that meets or exceeds the

exceeds \$5,000. For purposes of this definition, remuneration includes salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship); equity interest includes any stock, stock option, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value;

(ii) With regard to any non-publicly traded entity, a significant financial interest exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure, when aggregated, exceeds \$5,000, or when the Inves

Investigator compliance with the management plan until completion of the project.

If the Institutional Official determines the FCOI cannot be managed, the Institutional Official will move forward with suspension of W K H , Q Y H V W L J D W R U ¶ V D V V R F L D W L R Q Z L W K W supported project. The Institutional Official will provide the Investigator with a written explanation of this determination.

The above procedure also applies to cases where an Investigator discloses a new SFI or the Institution identifies an SFI that was not disclosed timely by an Investigator or not previously reviewed by the Institution. The above review procedure also applies to any financial conflicts of a subrecipient Investigator.

Monitoring and Reporting ([42 CFR 50.604\(h\)](#), [42 CFR 50.605\(b\)](#)) [42 CFR 50.605\(a\)\(3\)\(iii\)](#))

The Institutional Official or his/her designee will submit initial, annual,

the PHS relating to the research, specifying actions to be taken to manage the FCOI. If bias is found, the Institution will submit a Mitigation Report in accordance with PHS regulations. The Mitigation Report will identify elements documented in the retrospective review, a description of