

Guidance for DPPOS Duality of Interest (DOI) Disclosure

Disclaimer: This form is provided as a guidance document only and its use is limited to the Study Group. This form does not constitute NIH policy.

The Study: Throughout, “The Study” refers to the NIDDK funded project “Diabetes Prevention Program Outcomes Study (DPPOS)”

Guidance: This guidance is provided to assist members of The DPPOS Research Group with disclosure of relationships (financial and other) with commercial entities to manage potential or perceived conflicts of interest relating to The Study.

Purpose: The purpose of this guidance is to manage potential bias or the appearance of bias related to commercial entities (such as pharmaceutical, biotechnology, and medical device manufacturers) whose products or services may be used, tested and/or affected by or whose products or services might be affected by the results of The Study.

Obligations of Participants Regarding DOIs:

It is the obligation of all participants to understand and comply with the policies of their individual institution and its Institutional Review Board (IRB).

- All Study research personnel should be in full compliance with all relevant DHHS, NIH, FDA and IRB DOI policies as well as all individual institutional DOI policies.
- Under the DHHS “final rule” (see Subpart F http://grants.nih.gov/grants/policy/coi/foi_final_rule.pdf) a duality for the purposes of The Study consists of any qualifying (see below) financial affiliation or equity holding in a private entity where that entity could reasonably be interpreted to be affected by the results of The Study.
- Any such duality that is reported to the individual’s institution must also be reported to The Study.
- The participant’s individual institution then determines whether a declared duality requires management and the steps to be taken to mitigate the appearance of a duality. The management plan should also be reported to The Study that in turn may take additional steps to manage the duality.
- Regardless of the individual’s institutional requirements, each participant must also disclose any DOI that satisfies the criteria for a significant financial interest as specified by The Study.

Who Should Complete a DOI Disclosure Form: All individuals who are participating in the conduct of The Study in any capacity a (e.g. Principal Investigators, Co-Investigators, Program Coordinators, study staff, consultants, etc.) should complete a DPPOS DOI Disclosure Form.

Study Duration to Which Guidance Applies: This guidance applies for the duration of The Study activity, the preceding 12 months prior to completing the Disclosure Form, and until all publications are completed.

Options for Management of DOIs: In addition to the steps instituted by an individual’s institution to manage a reported duality, one or more approaches to the management of DOIs may be exercised at the discretion of The Study. This will be decided on an individual basis according to the policies and procedures of The Study.

- Public disclosure of relevant significant financial interests including disclosure to the Steering Committee.
- Disqualification from participation in an activity that would potentially be affected by the DOI.
- Divestiture of significant financial interests to the extent that the financial relationship falls above the stated threshold for DOI.
- Severance of the relationships/activities that create actual or potential DOI.

What Constitutes DOI Violations: Violations involving DOI could lead to removal from The Study activities and include but are not limited to:

- Failure to disclose a pertinent DOI to The Study and/or to the individual's institution and/or its IRB (where required by the institution).
- Unwillingness to comply with duality management specified by the individual's institution or The Study.
- Failure to comply with The Study DOI procedures.

Possible Consequences of a Declared DOI: Possible consequences related to the declaration of a DOI include but are not limited to:

- No action; disclosure alone is sufficient.
- Relationship noted in minutes and described in publication/presentation footnote.
- Investigator banned from authorship of one or more papers (depending on relation of conflict to content of paper).
- Investigator excluded from voting on any issue related to a company/entity with which they have a relationship, regardless of the monetary value or nature of the relationship.

DOI Disclosure Procedures:

All activities that would qualify as a duality according to the individual's institution requirements should be reported to the institution and also to The Study. In addition, regardless of the institution's requirements, any activity that satisfies the following specifications should be reported to The Study.

- All relationships with commercial entities whose products/services are being used/tested or are in direct competition with those being used/tested should be disclosed to The Study. ***This includes any company/entity developing or manufacturing or selling medications to prevent diabetes or control glycemia in type 2 diabetes.*** This includes any current relationships or those within the past 12 months that represent (or could be perceived to represent) a DOI.
- Individuals meeting the qualifications for completion of a DOI Disclosure Form should specify their level of interest in combination with the levels of interest of their spouse and children as follows:
 - (A) A financial interest \leq \$5,000 in a given company (including equity, honoraria, or any other support), and no equity if it is a non-publicly traded entity
 - (B) Financial interest in any publicly traded entity with a value $>$ \$5,000 ***including*** the value of equity interest.
 - (C) Financial interest $>$ \$5,000 in a commercial entity that is NOT publicly traded ***OR ANY*** equity interest in such an entity.

DPPOS is implementing this standard for DOI based on the DHHS final rule released in August 2011. Equity is defined as an individual's financial interest in a commercial entity that belongs to or may be conveyed to that individual. It is important to note that these interests include those of the individual's spouse and dependent children, and that the total is cumulative based on holdings by the entire family. For example:

- If an individual and/or the individual's and/or dependent children own stock in a publicly traded company, and the individual and/or the spouse and/or dependent children have received payments from the company (e.g. for consultant), and the total value of the income received and equity interest exceeds \$5,000, then this would be declared as a duality of interest under (B).
- If an individual owns equity in a company that is not publicly traded that is worth \$50, regardless of any other financial interest (e.g. income) then this would be declared under (C).
- If an individual secures a \$11,000 speaking fee from Pharmaceutical Company Y, whether

publicly traded or not, the speaking fee is greater than \$5,000 and therefore would be declared as (B or C).

- DOI Disclosure Forms should be completed when first engaged in The Study and updated on no less than an annual basis. New conflicts should be reported as soon as they are identified by submitting a new DOI form.
- DOI forms for all participants in The Study should be maintained by The DPPOS Coordinating Center. DOI forms will not be maintained at NIDDK.

DOI Review Procedure:

- DOI forms will be reviewed by NIDDK and a committee appointed by the DPPOS Executive Committee. A review group independent of the Executive Committee will review its DOI forms.
- DOIs that are relevant should be reported prior to each study meeting of The Study Group.
- Change in DOI status should be reported as soon as identified.

Examples of Interest that Should be Disclosed:

- Ownership of stock, equity, or other financial interest in a company/entity which has products that might be used in or benefit from or be harmed by the results of The Study.
- Employment, office or directorship in any company/entity involved or potentially involved with The Study.
- Personal compensation from any company/entity involved or potentially involved with The Study.
- Consulting/advisory arrangements with any company/entity involved or potentially involved with The Study, including service on:
 - Data and Safety Monitoring Boards
 - External Evaluation Committees
 - Advisory Boards
- Involvement with grants, contracts, research, training or other support (restricted or unrestricted) from any company/entity involved or potentially involved with The Study.
- Travel grants to attend educational symposia provided by any company/entity involved or potentially involved with The Study. This includes serving in one of the aforementioned consulting/advisory arrangements.
- Intellectual property rights (i.e. copyright, patent, trademark) related to the activities of The Study.
- Relationship with a company/entity that may affect academic advancement or status, such as sponsorship of an endowed chair or establishment of a fund for use by The Study investigator.
- Other significant relationships with a study-related commercial or non-commercial entity, for example:
 - research, training or other support for a DPPOS Research Group investigator, or in which the DPPOS Research Group investigator is involved, or over which the DPPOS Research Group investigator has control, responsibility for conduct, responsibility for making appointments, or the like, even if funding is not directly to the DPPOS Research Group investigator;
 - possible other relationships in which there is or seems to be a dependency relationship of the DPPOS Research Group investigator to the study-related entity;
 - current or proposed participation in a clinical trial by a DPPOS Research Group investigator that is funded by NIH or non-NIH sources and addresses a research question with close similarity to a proposed DPPOS Research Group study.

All of the above applies to companies/entities being studied as well as those in direct competition with the companies/entities being studied as defined above.