

AASM Foundation Conflict of Interest (COI) Policy for Committee Members
Effective February 1, 2020

Purpose

The American Academy of Sleep Medicine Foundation (AASM Foundation) is committed to integrity in the conduct of all its activities. The purpose of the AASM Foundation Conflict of Interest (COI) policies are to ensure fair and transparent guidelines to maintain integrity, credibility, and ethical standards for individuals serving the AASM Foundation in volunteer and elected positions. The AASM Foundation recognizes that its volunteers are subject to conflicts of interest. This policy outlines the required disclosures of financial or other relationships, by members of the AASM Foundation Committee members (elected or ad-hoc), which may be perceived as potential or actual conflicts. This policy also describes the procedures for review and resolution of these conflicts. This policy should be reviewed annually and every time the AASM COI policy is revised in order to determine if any updates are necessary.

Tiers

Tier 1 includes:

- Chair, Vice Chair, and members of Review Committees
- Research Fellowship Committee
- All other committee members, task force members or individual ad-hoc reviewers involved in reviewing applications for any AASM Foundation award or program

Tier 2 includes:

- Foundation Development Council
- All other committee and task force members and other elected or volunteer positions not listed above and not related to reviewing applications for any AASM Foundation award or program

Rules

1. AASM Foundation Committee members (Tiers 1 and 2) must disclose any of the following conflicts and recuse themselves from discussions or votes relevant to their conflict(s).
 - a. Direct employment or service as a consultant for a Commercial Entity.
 - b. Direct ownership, or ownership by Immediate Family, of either >5% of a sleep-related Commercial Entity or stock in such a Commercial Entity.
 - c. Acceptance of payments for speaking engagements from a Commercial Entity.
 - d. Recipient of a personal gift or institutional gift on your behalf, discounted or free use of material or equipment of value \geq \$1,000 provided by a Commercial Entity.
 - e. Member of a Commercial Entity Board of Directors or Advisory Board related to sleep (paid or unpaid).
 - f. Member of a Board of Directors or Advisory Board of another professional or nonprofit organization related to sleep.
 - g. Membership in a speaker's bureau.
 - h. Recipient of a research or travel grant from a commercial entity.

- i. Partial or sole ownership of Intellectual Property related to sleep medicine that produces income or other monetary benefit.

Definitions

For the purpose of this policy, the following definitions apply:

- Commercial Entity:** For-profit manufacturers
- Intellectual Property:** A work or invention that is the result of creativity, such as a manuscript or a design, to which one has rights and for which one may apply for a patent, copyright, trademark, etc.
- Immediate Family:** Parents, siblings, spouse/partner, and children.
- Advisory Board:** A body that provides strategic advice to the management or Board of Directors of a commercial entity or nonprofit organization

Timeframe

Generally, any conflict that ended at least one year prior to COI disclosure is not applicable and should not be considered a conflict.

Procedure for COI Disclosure

1. New nominees to AASM Foundation committees will be asked to complete an AASM Foundation COI disclosure form upon appointment. All current AASM Foundation committee members must complete a COI disclosure form annually in July. All completed forms should be submitted to AASM Foundation staff for review.
2. All disclosed conflicts of interest with respect to new nominees, and any changes in COIs of current members, are submitted to the AASM Foundation Board of Directors for information at their next meeting.
3. Should a change of circumstances occur during the year, AASM Foundation committee members must promptly complete a new COI form which will be submitted to the AASM Foundation Board of Directors for information at their next meeting.
4. Should a conflict arise that is not outlined within the policy, the AASM Foundation Board of Directors has the right to decide the most appropriate level of conflict to apply.
5. All COI disclosure forms will be retained at the AASM Foundation national office and will be released to individuals upon written request. COI disclosure forms will not be placed on the AASM Foundation website.
6. All members of the AASM Foundation committee members listed in Tier 1 above will also be required to disclose conflicts of interest (see Table 1.) with each letter of intent and award/program application reviewed.

Failure to Disclose COIs

1. The AASM Foundation Board of Directors shall have the right to take whatever steps it deems necessary against any person who is required to submit a COI form but fails to disclose a relevant COI. These shall include, but not be limited to, removal from office and banning that person from holding any further office in the AASM Foundation for a specified or unlimited time.
2. Failure to submit a timely COI form may result in removal from office at the discretion of the AASM Foundation Board of Directors.

Table 1. Conflicts that require disclosure prior to reviewing applications.

<p>If any of the following conditions apply, the reviewer <u>cannot</u> serve as an application reviewer on an award cycle where the conflict of interest exists:</p>	<ul style="list-style-type: none"> • The reviewer is listed as the principal investigator (PI), co-PI or key personnel (paid or unpaid) on an application. • The reviewer is listed as a mentor (paid or unpaid) or consultant (paid or unpaid) on an application. • The reviewer (or immediate family member) could receive a financial benefit from individuals/industries that own or manufacture medical treatments, services, or items that the application proposes to study. • The reviewer is an immediate family member of the PI, co-PI or key personnel on an application.
<p>If any of the following conditions apply, the reviewer must disclose the conflict(s) of interest and recuse himself or herself from the discussion and scoring of the specific application(s) they are in conflict with:</p> <p><i>Note: Recusals of reviewers from discussions and scoring of specific applications due to a conflict will be documented.</i></p>	<ul style="list-style-type: none"> • The reviewer has provided a letter of support as part of the application. • The reviewer currently works or has worked with the PI, co-PI or key personnel on other research project(s) in the past 3 years. • The PI and/or co-PI is from an institution (or any affiliated location) that the reviewer has an appointment at. • The reviewer is currently applying for a job at the institution of the PI and/or co-PI. • The PI and/or co-PI is applying for a job at the reviewer's institution. • The reviewer has a recognized scientific disagreement or has a negative relationship (e.g. a professional rivalry) with the PI, co-PI or key personnel. • The PI and/or co-PI was (within the past 3 years) or is currently the reviewer's student, advisee or mentee. • The reviewer, or his/her immediate family, currently receives, or within the past 12 months has received, medical care from the PI, co-PI or key personnel. • The reviewer has provided technical assistance (e.g. assisted with preparing/submitting the application, provided resources for the application) to the PI, co-PI or key personnel in preparation for submitting an application. • The reviewer is the recipient of a research or travel grant from the applicant's organization. • The reviewer serves as a member of the advisory board for the project under review (if applicable). • The reviewer could receive professional gain or advancement as the direct result of the application funding decision.

	<ul style="list-style-type: none">• The reviewer and PI and/or co-PI currently serve on the same AASM committee or task force.• The reviewer has an indirect financial interest from the PI and/or co-PI or their institution of over \$10,000 in honoraria, stocks, and fees during the last year or during the funding period.
--	---