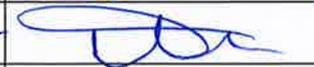


Funding Policy

| | |
|--|--------------------------------|
| Topic area | Management, strategic planning |
| Code | MAN_PLAN_POL-02 |
| Version | 04 |
| Replaces version | 03 |
| Valid from | 11.12.2017 |
| Date of last revision | 15.08.2015 |
| Date of next scheduled revision | December 2019 |

Development, review and approval

| | Name | Function | Date | Signature |
|--------------------|--------------|-----------------|-------------|---|
| Revised by | Sven Trelle | Co-Director | 22.11.2017 |  |
| Approved by | Sven Trelle | Co-Director | 22.11.2017 |  |
| Released by | Sarah Berner | Quality Manager | 22.11.17 | S. Berner |

Location of policy

The current approved version is available electronically as PDF on CTUPP.

Printouts of the electronic version will be considered as not controlled copies.

Revision index

| Version | Chapter | Summary of changes | Reason for change(s) |
|---------|-----------------------------|---|---|
| 01 | | First release | |
| 03 | Funding of clinical studies | A list of funding sources is now publicly available | Periodic review |
| 03 | Honoraria | Handling of donations more specifically described. Multiple affiliations of CTU staff is now explicitly considered | Too unspecific previously Not covered previously |
| 04 | n/a | no changes | Periodic review |

CTU Bern Funding Policy¹

CTU Bern, including CTU Bern staff, aims at being independent of financially driven biases. CTU Bern acknowledges that clinical research is costly and some research would not be possible without financial support from organizations that have a vested interest² in the results of the research they support. Therefore, CTU Bern's funding policy aims at transparency and minimizing financial biases.

Funding of clinical studies

CTU Bern may be involved in studies that are funded by for-profit organizations with a commercial interest in healthcare. However, CTU Bern ensures transparent reporting of funding sources and endorses access to all study data by academic researchers and unbiased and unrestricted publication of study results. CTU Bern provides a list of its for-profit funding sources on the CTU website.

CTU Bern is and will not be involved in any clinical study (co-)funded by the tobacco industry.

Honoraria, other payments, and gifts to and shares of CTU Bern staff

Offers of honoraria by for-profit organizations with a commercial interest in healthcare to individual CTU Bern staff have to be declined. Receipt of reasonable expenses such as meals and travelling costs to attend meetings is acceptable. Note that sometimes inappropriate honoraria by for-profit organizations with a commercial interest in healthcare are "laundered" through educational organizations or charities and such honoraria should also be declined.

Gifts by for-profit organizations with a commercial interest in healthcare should generally not be accepted (neither to the CTU nor individual CTU Bern staff). In any case, gifts worth more than CHF 100 should be discussed with a supervisor.

If an honorarium is declined, the intended CTU Bern recipient is encouraged to instruct the respective company to donate the corresponding amount to a specific charity³ (the charity should operate in the health care sector and be certified e.g. ZEWO). If direct donation is not possible, the honorarium is donated by the CTU Bern financial office.

It is generally not appropriate for CTU Bern staff, including staff with additional affiliations, who may have foreknowledge of relevant publications or statements from CTU Bern, to have shares in for-profit organizations with a commercial interest in healthcare, as these may be directly or indirectly affected. Owning unit trusts or managed share portfolio is, however, acceptable irrespective of the shares involved, since overall control of trusts or shared portfolio is not with the individual investing into them.

Other

Invitations by for-profit organizations with a commercial interest in healthcare to speak at colloquia need to be considered carefully to ensure that the meeting is really a scientific meeting and not simply a marketing event. If an invitation is nevertheless accepted specific interests of CTU Bern need to be served by attending the meeting. In any case, any honoraria in relation to such meetings should be declined and the respective company instructed to donate the corresponding amount to a specific charity (see above)³.

¹ Based on a guideline of the Oxford Clinical Trial Service Unit

² Non-financial interests or financial interests by non-profit organizations are not covered by this policy.

³ CTU staff members may have multiple positions and CTU Bern acknowledges that the policy regarding honoraria may be in conflict to policies of the other affiliations. In any case, honoraria for personal gain must be declined.