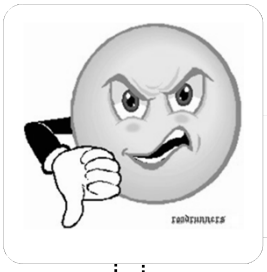
International Research

Does it keep you up at night?

SAGEFOX

Disclaimer

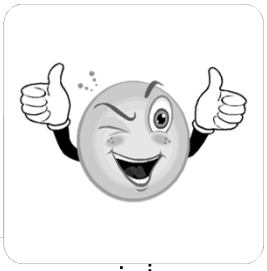


Conflict of Interest

We have no relevant personal/professional/ financial relationship(s) with respect to this educational activity.

Commitment

This is intended to be an educational discussion to enhance awareness of international activity as it relates to research



0% **100%**

Perspective

There is no one way to implement an international research program. This presentation is from the perspective of one institution highlighting success stories as well as lessons learned.

SAGEFOX

Institutional Journey

This presentation is intended to give you an insight into the process of defining, creating, and monitoring international research activities. The information here is based on the journey that my institution took with some lessons learned. There are many ways to approach this process based on the type of international activity, resource allocation, and the risk tolerance of your institution.

SAGEFOX

Objectives

Who

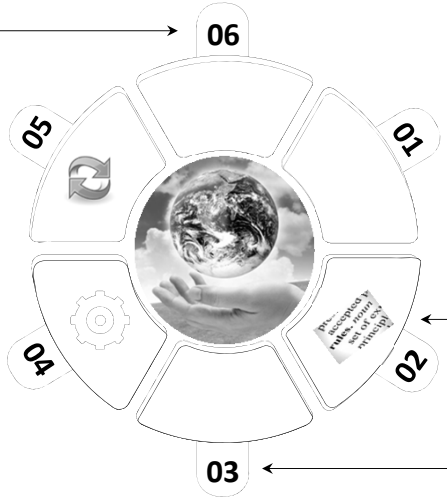
Who owns it? Where does the responsibility live for identifying, assessing, and managing research activity?

Manage

Discuss ways to manage and monitor research activities? Are there natural checkpoints?

Assessment

Discuss ways to assess where research international activities occur within your institution.



Define

What is international research? What does it mean to your institution?

Regulation

Who has regulatory oversight over international research activities?

Identify

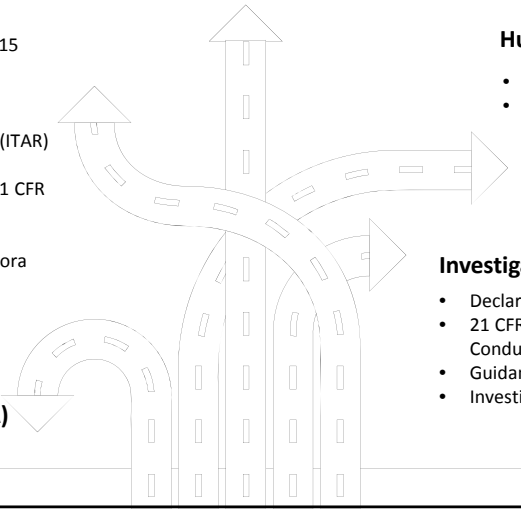
How do you identify areas where international activities may occur?

SAGEFOX

Regulatory review

Animals
- PHS Policy on Human Care of Use of Laboratory Animals
- Foreign Assurance (from OLAW)
- CIOMS Guidelines

Export Controls
- Export Administration Regulations (EAR) 15 CFR 700-799
- Export Administration Act (EAA)
- Tax Reform Act (TRA)
- International Traffic in Arms Regulations (ITAR) 22 CFR 120-130
- Office of Foreign Assets Control (OFAC) 31 CFR 500-599
- Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)
- Endangered Species Act
- Controlled Substances 21 CFR Chapter II



Human Subjects Research
- Federalwide Assurance (FWA)
- Institutional Review Board (IRB)/Ethics Board and local version of IRB/Ethics Board

Investigational New Drugs (IND)
- Declaration of Helsinki
- 21 CFR 312.120 Foreign Clinical Studies Not Conducted Under an IND
- Guidance for Industry and FDA Staff
- Investigational New Drug (IND) Application

Foreign Corrupts Practice Act (FCPA)
15 U.S.C. §78-dd-1, et seq.

SAGEFOX

How do you define international research

Our definition is based on international activity occurring for research purposes

01 Human Subjects
Is it just clinical trials occurring outside of the US borders?

02 Foreign Nationals
Is your definition based on whether your PI is a foreign national or will be conducting research in a foreign country?

03 Data
Does your definition include sending or receiving data from a foreign location?

04 Export Controls
Is your definition based on whether you need an export control license?

05 FCPA/OFAC
Does your definition include checking the naughty lists?

SAGEFOX

Searching for international research activities

Regulation

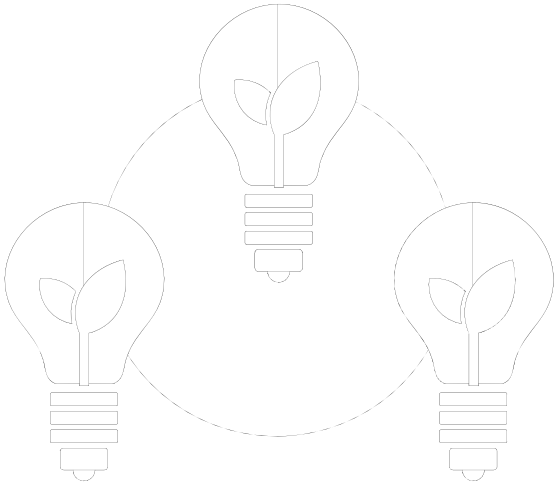
Are there areas that are specifically called out in the regulation.

Usual Suspects

Areas that are always involved regardless of the type of research such as contracting.

Department Interviews

Checking in with departments within the institution to find out if they do business internationally.



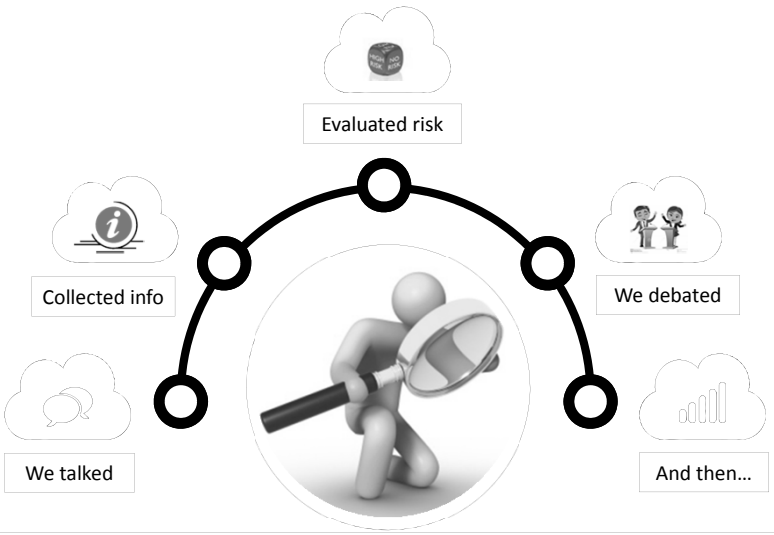
SAGEFOX

What did we find

- **Animals**
- **Bench research**
- **Contracting**
- **Data management**
- **Employment/Taxes**
- **Finance**
- **Foreign Nationals**
- **Grants**
- **Human Subjects Research**
- **IS/IT**
- **Labs**
- **Licensure**
- **Privacy/HIPAA**
- **Purchasing/Vendors**
- **Shipping**
- **Signing Authority**
- **Visas**

SAGEFOX

What did we do with this information



What does it all mean?

We talked a lot of about what this meant to the institution in terms of risk tolerance and things we felt were priorities to the organization.

How did we choose?

Once we did our assessment as to what we wanted to include and where it lived within the institution, we then assigned risk.

SAGEFOX

We wrote a policy

Easy right?

Where to start?

Who is going to own it? Who will draft it? Does it need to be a research policy? Who needs to be involved?

What to include?

Do we put every topic we can think of? Do we do bare bones? Do we just put a general framework? Do we only put the big stuff?

How much detail

Do we put everything in the policy? Do we have appendices? Do we do a SOP? Do we have guidelines?

SAGEFOX

Where we landed

What was our approach

Categorized

Provided regulatory or policy basis

Provided institutional information

Created appendices with additional information

Animal Subjects Research

Institutions that conduct animal research on live, vertebrate animals with Public Health Service (PHS) funds are required by the PHS Policy on Humane Care and Use of Laboratory Animals (PHS Policy) to have in place an Animal Welfare Assurance with the Office of Laboratory Animal Welfare (OLAW). If the research is being conducted outside the U.S. with PHS-funds, the PHS Policy requirements are applicable to the research (or the foreign entity must provide evidence to PHS that acceptable standards for animal care and use will be met). A Foreign Assurance from OLAW must be completed by the foreign institution and the foreign institution must comply with CIOMS Guidelines. Review the section below entitled Export Controls, Animals and Animal Products for additional information.

See Appendix A for additional information on Animal Subjects Research.

Appendix A

Animal Subject Research

The BIDMC Investigator is responsible for the following:

The BIDMC Investigator must submit the research proposal to the BIDMC IACUC for approval. When submitting an application to the BIDMC IACUC that includes foreign animal research, the BIDMC investigator should include:

- **veterinary qualifications at the foreign site,**
- **IACUC/oversight body requirements at the foreign site,**
- **animal pain/distress considerations in the host country, and**
- **whether the foreign site has a Foreign Assurance from OLAW.**

The BIDMC Investigator should comply with the following policies and procedures:

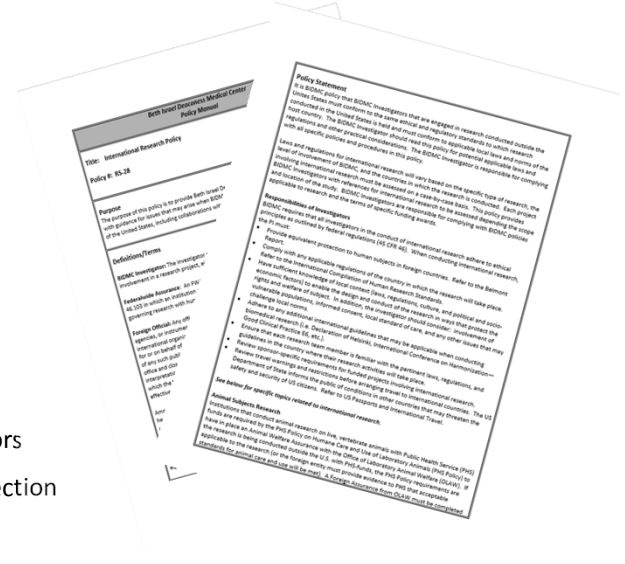
- **Investigator's Training Manual**
- **Animal Welfare Act**

For assistance on animal research issues at foreign sites, the BIDMC Investigator should contact the BIDMC Veterinarian at _____.

SAGEFOX

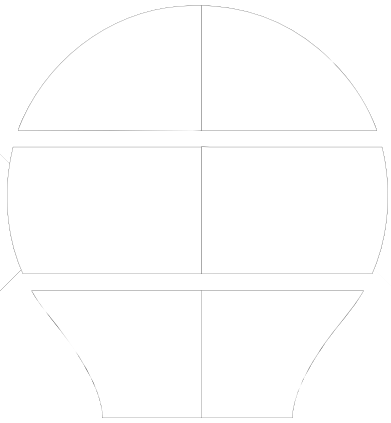
What we included in our policy

- Responsibilities of the investigator
- Animal Subject Research
- Employment and Taxes
- Export Controls
  - EAR
  - Anti-boycott
  - ITAR
  - OFAC
  - Animals and Animal Products
  - Controlled Substances
- FCPA
- Funds
- Human Subjects Research
- FWA
- IRB/Ethics Board
- Investigational New Drugs (IND)
- Foreign Laws and Regulations
- Licensure
- Visa
- Privacy/HIPAA
- Securing Data
- Paper files
- Electronic data
- Local researchers/translators
- Location of data collection
- Signing Authority
- Shipping



SAGEFOX

Next step…gap analysis



1 Review of existing policy

Once we identified our categories, we looked at hospital policy to see if there was any overlap.

2 Meetings

Met with individuals actually doing the work.

3 Interviews

Interviewed key stakeholders in policy areas to evaluate their process. We then compared that to existing policy and to regulation to identify gaps.

4 Survey

For topics where there was broad overlap among research groups, we conducted a survey.

5 Overlap

Many categories were not stand-alone categories.

6 Benchmarking

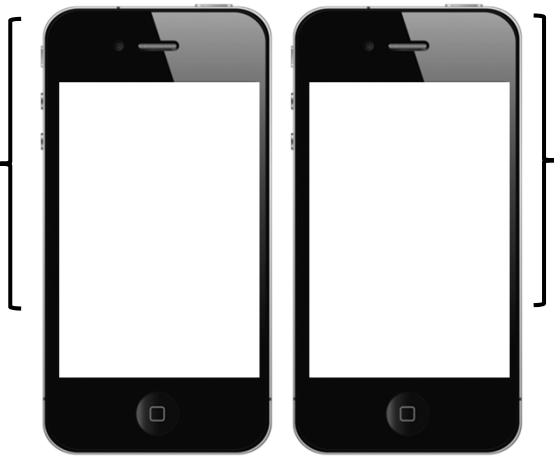
When gaps were identified, we reached out to colleagues to see what they were doing.

SAGEFOX

Next steps…developing and improving infrastructure

Who is responsible?

- International Office
- OGC
- Research Compliance
- Research Operations (IRB)
- PI/study staff



When/where does it start?

- Front-end vetting
- Pre/Post Grant application
- Pre/Post Award
- Contracting
- IRB Application/
- Approval

Supporting Infrastructure—What do you need to be successful?

FTEs? Software? Hardware? Consulting? Training? Administration support? Institutional buy-in?

SAGEFOX

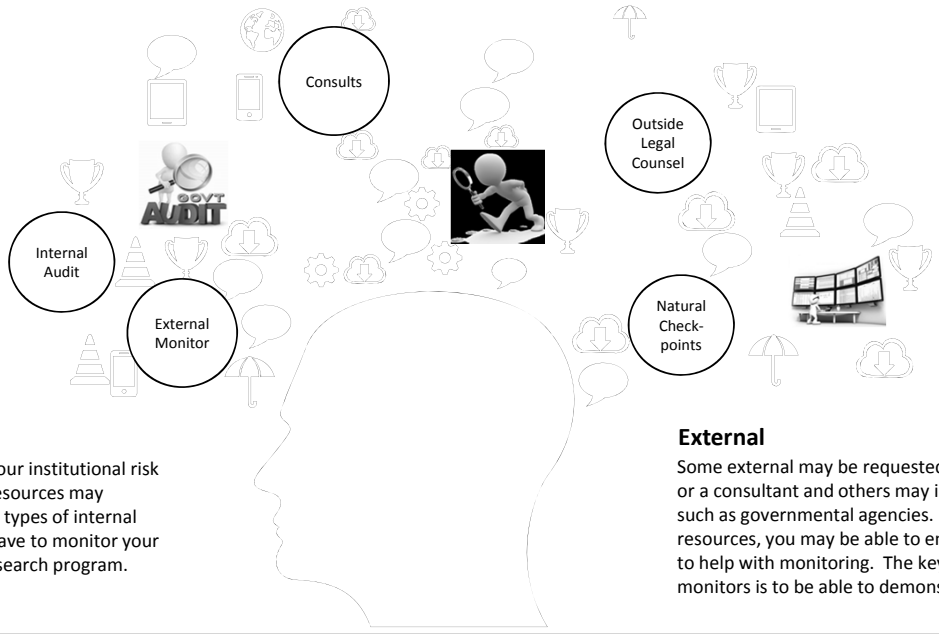
What do you need to know

Questions to ask

- Ask about money—who is getting it and where is it coming from?
- Ask what is going to be done and where?
- Ask about personnel—where are they from and where will they be working—do they have the right visa, credentials, licensure, etc. Think about tax and employment law in all locations.
- What agreements are needed?
- What kind of data will be collected? Where is data stored? How will it be transferred? Who will have access?
- What equipment will be needed? Where will it be purchased?
- How will money be exchanged—carrying cash? Bank account? How will things be paid for abroad?
- Shipping of samples, equipment, etc.
- Are you prime or sub on the award, who is responsible for what?
- What space will you use—institution, collaborator, lease/rent, etc.

SAGEFOX

How do you monitor



Internal

Depending on your institutional risk tolerance and resources may determine what types of internal resources you have to monitor your international research program.

External

Some external may be requested like outside counsel or a consultant and others may invite themselves such as governmental agencies. Again, depending on resources, you may be able to enlist outside services to help with monitoring. The key with the external monitors is to be able to demonstrate due diligence.

SAGEFOX

What can go wrong

- Harvard research in China
  https://www.washingtonpost.com/archive/politics/2002/03/30/harvard-research-in-china-is-faulted/5a9a2538-93ea-43b4-b660-6c1498fc468c/?utm_term=.413c4c710ecd
- Pfizer Trovan study in Nigeria
  https://www.ncbi.nlm.nih.gov/pmc/articles/PMC4089044/
- AZT trials in Africa
  https://www.ncbi.nlm.nih.gov/pmc/articles/PMC4089044/
- Clinical trial regulations in India
  https://clinregs.niaid.nih.gov/country/india#_top

net,
it,
plore
d
sum
tur

SAGEFOX

Other ideas, questions

Contact info:
kpiper@bidmc.harvard.edu
ergreene@bidmc.harvard.edu

SAGEFOX