POLICY MANUAL
Updated January 30, 2021

Summary
An essential document containing a broad overview of standard operating policies of the organization. This document will assist staff in learning the basic strategies of the organization and to establish consistency.
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1 GOVERNANCE

1.1 Roles & Responsibilities

President: The President is the principal executive officer of the Federation. The President shall preside at all meetings of the Board of Directors and the Steering Committee and be responsible for scheduling all meetings of the Board of Directors. The President may determine the order of business to be conducted at Board of Directors meetings.

President-Elect: The President-Elect shall assume the duties of the President in the absence of the President or in the event of his or her death or inability or refusal to act, and when so acting, shall have all the powers of and be subject to all of the restrictions placed upon the President.

Past-President: The Immediate Past-President shall serve as an officer of the Federation in an ex-officio capacity and shall perform such duties as may be assigned by the President from time to time.

Secretary: The Secretary or its designee shall record the minutes of the meetings of the Board of Directors in one or more books provided for that purpose; see that all notices are duly given in accordance with the provisions of these Bylaws or as required by the law; be custodian of the corporate records; and perform all duties incident to the office of Secretary.

Treasurer: The Treasurer shall have supervision through the office of the Executive Director of all monies, securities and other valuable properties of the Federation and shall oversee accurate accounts of the receipts and disbursements of the Federation in books belonging to it. The Treasurer shall ensure that all monies and other valuable effects are deposited in the name and to the credit of the Federation in such accounts and in such depositories as may be designated by the Board of Directors. The Treasurer shall check monthly the disbursements of funds of the Federation in accordance with authority of the Board of Directors. The Board may delegate duties of the Treasurer to any other officer, agent or employee.

(BOD: 3/7/07)

The Treasurer shall:
- Have a firm understanding of FOCIS mission and goals
- Report to the Board on finances
- Serve as chair of Finance Committee
- Prepare the annual budget for Finance Committee review and Board approval
- Ensure funds are managed in accordance with FOCIS policies
- Receive and understand the annual audit

1.2 Ethics

The Board of Directors commits itself and its members to ethical, business-like and lawful conduct, including proper use of authority and appropriate decorum when acting as Board Members. All members will read and sign the Code of Ethics & Personal Commitment Form. (Adopted SC:6/2006, Revised EC: 9/5/07)

1.3 Terms

- The local Annual Meeting program committee will be nominated by the Executive Committee and approved by the Steering Committee. (SC: 2/2/04) Reference Board of Directors Appendix for the terms and positions of the current Board of Directors
1.4 Governance

- Outstanding action items will be reviewed on each Executive Committee call. (EC: 4/20/2011)
- Past presidents should be included in strategic planning sessions, fundraising and development initiatives, and in nominations. (BOD: 6/10/07)
- A half-day strategic planning session should be held every two years. (BOD: 3/7/07)
- Board Meetings:
  - Quarterly conference calls should replace the current monthly calls, with the Annual Meeting replacing the June call. (BOD: 3/7/07)
  - The Board will meet in person twice a year, once during the annual meeting, and once at the same time and location as the Advanced Course. (BOD: 3/7/07)
  - Committee chairs should give 5-minute committee reports at the annual Board Meeting held at the Annual Meeting. (BOD: 3/7/07)
  - Board of Directors Reimbursement Policy – The Board of Directors Meeting and Strategy Planning Session meetings should reimburse up to $750 for travel expenses. One-night lodging will be provided to west coast travelers and 2 nights for those traveling from the east coast. (EC: 1/15/07)

1.5 Member Societies

- The number of members on the Steering Committee should be kept manageable to maximize its role as a governing body. (EC: 8/1/07)

- The most important aspects of Member Society participation are attending the Annual meeting and bringing FOCIS programs to Member Society meetings. (BOD: 5/7/07)

1.6 Committees

- Standing FOCIS Committees (EC: 7/31/06)
  - Steering Committee
  - Executive/Finance Committee
  - Audit Committee
  - Nominating Committee

- Currently Active FOCIS Committees (EC: 6/14/09)
  - Membership Committee
  - Scientific Program Committee
  - Education Committee
  - Publications Committee
  - FOCIS Centers of Excellence – North America, Multi-National

- FOCIS Committee / Task Force Appointment Process (EC: 7/31/06)
  2. Staff prepares committee / task force overview and initiates process with incoming president.
  3. Incoming president appoints or reappoints committee / task force chairs.
  4. Invitation letters are sent to all prospective chairs under president’s signature.
  5. Incoming chairs recommend members.
  6. Incoming president considers names provided and may suggest additional members.
  7. Committee / task force roster is approved by the officers; other names may be considered.
  8. Invitation letters are sent to all committee members under president’s signature.
  9. Incoming chairs are sent the complete roster of members with specific committee charges.
  10. Correspondence thanking outgoing chairs and members is sent under president’s signature.
  11. Term of service begins July 1 of the first year of the incoming president’s two-year term.
1.7 Steering Committee

- Steering Committee rotation decisions are based on FOCIS Member Society participation. FOCIS Membership Committee staff liaison will provide the Membership Chair with a current Member Society Participation Summary grid (S:\FOCIS Member & Affiliate Societies\Member Society Participation Summary) following every annual meeting for review. The Chair will make a recommendation of three active societies to rotate onto the Steering Committee annually. This recommendation will then be vetted by the Executive Committee final review and approval. (EC: 9/2/11)

- Twenty Member Societies shall have the right to vote as Steering Committee members. Ten will be permanent Steering Committee members and ten will be rotating annually. (SC: 5/12/09; 5/27/09; 6/12/09)

<table>
<thead>
<tr>
<th>Permanent Steering Committee Representatives</th>
<th>Permanent Ad Hoc Societies</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. American Academy of Allergy, Asthma and Immunology</td>
<td>1. Crohn’s Colitis Foundation of America</td>
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<tr>
<td>2. American College of Rheumatology</td>
<td>2. Immune Tolerance Network</td>
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<tr>
<td>3. The Transplantation Society</td>
<td>3. National Institutes of Health</td>
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<td>4. Clinical Immunology Society</td>
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<td>5. Society for Mucosal Immunology</td>
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<td>6. Immunology of Diabetes Society</td>
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<td>7. International Society for Neuroimmunology</td>
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<td>8. Society for Immunotherapy of Cancer</td>
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<tr>
<td>9. American Society for Histocompatibility &amp; Immunogenetics</td>
<td></td>
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<tr>
<td>10. American Uveitis Society</td>
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</tbody>
</table>

- As the FOCIS Steering Committee oversees membership and Board nominations, the Steering Committee Meeting should begin with a brief PowerPoint presentation at the beginning of the meeting. The FOCIS Board of Directors should be invited to attend, but should be provided with seating in the back of the room, not at the conference table. (EC: 4/24/06)

- A Consent Agenda will be used at Steering Committee Meetings to allow more time for discussion and action items. (EC: 4/24/06)

- The gavel pass for the Board of Directors will be at the end of the Steering Committee Meeting held the day before the meeting begins. The new President will open the first plenary with a FOCIS overview. (EC: 6/5/2006)

- The annual Steering Committee Meeting should be held at the beginning of the Annual Meeting. (SC: 5/16/05).
2 ANNUAL MEETING

2.1 General

- There will be no CME credits offered at the FOCIS Annual Meeting (BOD: 2015) or FOCISed courses (BOD: 2016)
- When planning for minimum space requirements, only four Thematic sessions will be held concurrently. However, Oral Abstract Sessions will still require five concurrent session rooms. The plenary hall minimum requirement can be reduced to 1,000. (EC: 6/19/08)
- Future Annual Meetings should be scheduled after June 15. If late June dates are not available, options should be presented to the Board of Directors for approval. (Adopted SC: 8/4/03, Revised EC: 4/3/06, BOD: 3/7/07)
- Lifetime Achievement Award – The FOCIS Lifetime Achievement Award should be structured to raise money from previous trainees ($50,000-$100,000). The recipient should be invited to speak for 20 minutes in a thematic session, with a five-minute introduction by a colleague. A board officer should review text for a plaque and present it to the recipient. (EC: 4/9/07)
- Complimentary registration is to be extended to the Immune Tolerance Network leaders and reviewed by the Executive Committee on an annual basis. (EC: 1/22/07)

2.2 Organizing Committee

- Abstract Chairs will be part of the Organizing Committee; (Abstract Cmte Mtg: 2/14/08)
- FCE and Member Societies may suggest appointments for the Program Committee. (SC: 5/16/05)
- The Steering Committee will discuss the program, thematic ideas, and suggest speakers for FOCIS Annual Meetings. (EC: 4/19/05)
- The local Program Committee will be nominated by the Executive Committee and approved by the Steering Committee. (SC: 2/2/04)
- The Development Committee Chair will be invited to serve as an ad-hoc member of the Annual Meeting Organizing Committee. (EC: 7/27/12)

2.3 Sessions

- Regarding commercial sponsors and speakers, FOCIS currently informs industry speakers of their obligations via a required signed disclosure form and conflict of interest resolution procedure. To ensure the absence of bias in scientific sessions, knowledge of every commercial sponsor and speaker should be required prior to invitation. FOCIS policy could disallow industry speakers to present at plenary or thematic sessions or policy could prohibit industry speakers at plenary or thematic sessions that are sponsored by the company. It was agreed that the authority for speakers lies exclusively with the Organizing Committee. (BOD: 6/10/07)
- Honorific chairs must be a fit for the thematic/science of the session. The timing of the thematic sessions must be kept and it must be consistent, slate three ½ hour talks with 1-2 abstracts each. Also keep back-up abstracts in-hand for cancellations. (EC: 6/5/06)
- The new President will open the first plenary with a FOCIS overview. (EC: 6/5/06)
- Poster presenters are required to register for the Annual Meeting in order to be listed in the abstract book and program. (SC: 5/16/05)
- FCE Directors reimbursements are contingent upon participation in FCE Fusion, and the FCE Directors Committee Meeting and any other required activities. (EC: 6/5/06)

2.4 Satellites: FOCIS Centers of Excellence (FCE) Fusion (Formerly Training Satellite Symposium, TSS)

- Satellites should be limited to ½-day sessions; the afternoon sessions should be filled first. (SC: 6/5/08)
- FOCIS Fusion is coordinated by the FCE Committee; is approximately 2-hours in length and takes place over lunch on the Tuesday prior to the Annual Meeting.
- To ensure the presence of senior faculty, the Executive Committee will be invited to attend. A co-facilitator will be appointed so two people are running the program instead of one. (EC: 6/5/06)

- Audiences for the Basic Immunology in Medicine course and the FCE Fusion event overlap, and will continue to be held on separate days.
  - FCE Fusion trainees will be reimbursed up to $500 for participating in FCE Fusion and receive complimentary meeting registration. Non-participation in event precludes the trainee from receiving reimbursement. (EC: 12/5/05)
  - FCE Fusion is an annual event at the Annual Meeting. (SC: 7/18/04)
  - FOCIS should not limit the participation or programming efforts of Member Societies, but rather encourage Societies to co-brand and coordinate speakers so that speakers are not presenting multiple times at the meeting. (SC: 6/5/08)

2.5 Abstracts

- Late Breaking Abstracts will not be open for oral presentation. (EC: 2/5/07 w/ Organizing Committee) In respect to late breaking abstracts, if a great scientific advancement or achievement occurs, FOCIS should specifically invite the scientist who found this information to attend the meeting and speak. (EC: 2/19/07)

- Abstracts should be anonymously reviewed. (SC: 5/16/05)

- The Abstract Supplement should be organized in order of presentation with an author index in the back. (EC: 3/8/05)

2.6 Awards

- An endowed lectureship initiative will be initiated to honor a distinctive contributor to translational immunology and raise funds to support FOCIS. This could link to Lifetime Achievement Award. (BOD: 6/7/07)

- The Post-Doctoral Fellowship shall be valued at $75,000 with $50,000 awarded to recipient and $25,000 retained by FOCIS. (EC: 9/28/04)

2.7 Exhibitors and Posters

- Keep exhibits and posters together. Posters hours will be extended since one hour is not adequate. Poster numbers will be posted at the top of the posters. (EC: 6/5/06)
2.8 Lists

- Attendee lists should generally not be distributed electronically. Distribution of various attendees’ lists will be determined on a case-by-case basis. (EC: 4/3/06)

2.9 Reimbursement

- Reference Annual Meeting Reimbursement Policy Appendix.

- **IUIS Council Member Annual Meeting Speakers (EC: 9/18/10)**
  - Receive complimentary annual meeting registration and up to two nights hotel accommodations at the headquarter hotel. No other reimbursement shall be issued for their participation.

- **Travel (EC: 11/18/03), Revised (EC: 5/7/07), (EC: 9/8/10)**
  - Travel shall be booked at least 14 days in advance, coach only for US flights.
  - Transoceanic travel should also be booked at least 14 days in advance. For business/first class, individuals should use personal or organizational miles for upgrades whenever possible. Otherwise, transoceanic travel may be reserved up to $1,000 per ticket for N. American speakers, up to $1,250 for international speakers with special circumstances for meeting-related travel; subject to prior approval by the Executive Director in consultation with the FOCIS Executive Committee.
  - To receive reimbursement for lodging, recipients must stay at the FOCIS headquarter or designated hotel.

- **Meals & Entertainment (EC:11/18/03) Revised (EC: 5/7/07)**
  - Expenses submitted must include all receipts listing individuals in attendance and justification for the function, not to exceed $150 per person. Only FOCIS Officers, FOCIS Board members, FCE Directors and the Executive Director are authorized for these expenses.

- **FCE Directors & Clinical Trialists as indicated by leadership (EC: 11/18/03) Revised (4/13/06), (EC: 5/7/07)**
  - To be reviewed and determined per Annual Meeting, each FCE may receive up to $1,000 reimbursement for meeting related expenses for the FCE Director AND a FCE clinical trial leader to participate in the FCE Directors Meeting. If only one person participates, reimbursement will be for up to $750. These representatives will NOT receive complimentary registration.

- For international meetings partnered with FOCIS, FOCIS speakers are entitled to coach airfare up to $1,500 and NIH per diem meal rate for 2 days. (EC: 6/13/05)

- **FCE Fusion (formerly TSS) participants receive $500 travel award and complimentary meeting registration. (EC: 2/5/05)**

- **No reimbursement will be paid after one year has passed. (EC: 2/15/05)**

- **Members of the Abstract Committee receive up to a $1,500 travel reimbursement for the Abstract Committee meeting. (EC: 11/18/03)**

FINANCES AND BUDGETING

2.10 General

- **FOCIS will build an endowment by consistently setting aside a portion of revenues. (EC: 6/5/06)**

- The fiscal year of the Federation of Clinical Immunology Societies shall commence on January 1st of each year and end on December 31 of the same year. (SC: 10/28/04)
The Federation should strive to have one year's operating expense in reserve. (SC: 8/21/03)

### 2.11 Operating Cash Management Guidelines (Reviewed by the Finance Cmte, Approved EC: 01/13/17)

<table>
<thead>
<tr>
<th>Authority</th>
<th>The Federation of Clinical Immunology Societies (FOCIS) Board of Directors, oversees the management and investment of all restricted and unrestricted operating and non-operating funds. The FOCIS executive director and treasurer work together to carry out the financial transactions needed to manage the funds in FOCIS accounts.</th>
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<tr>
<td>Principles</td>
<td>This document establishes guidelines and procedures for the management and investment of operating cash (divided into operating funds and reserve funds) and the investment portfolio. The investment objectives for operating cash are preservation of capital and liquidity. The investment objective for the investment portfolio is a balanced portfolio composed primarily of equity and bond mutual funds with good prospects for long term capital appreciation.</td>
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</table>
| Definitions | **Operating Funds** – Defined as 50% of the average annual expenses for the current year and the two previous years. ($858,440)  
**Reserve Funds** – Defined as an additional amount equal to 15% of average annual expenses for the current year and the two previous years. ($257,532) |
| Guidelines | **Operating Funds** - All operating funds will be held in fully FDIC-insured checking or money market accounts.  
**Reserve Funds** – Reserve funds will be held in fully FDIC-insured checking accounts, money market accounts, or certificates of deposit with the option of allocating a portion of the reserves to be held in an investment account in a mutual fund holding investment grade bonds.  
**Investment Funds** – FOCIS funds not otherwise allocated to operating funds and reserve funds will be transferred to an investment account and invested in a diversified set of mutual funds by a financial advisor selected by the FOCIS Board of Directors. Each January all funds in excess of operating and reserve funds will be transferred to the investment account to be invested. Each January all funds held in the investment portfolio will be rebalanced among the mutual funds being used to realign with the target allocation strategy. |
| Responsibilities and Monitoring | 1. The FOCIS Board of Directors will provide oversight to the management and investment of the FOCIS portfolio.  
2. The FOCIS treasurer and executive director will report investment results annually to the FOCIS Board of Directors.  
3. The FOCIS treasurer and/or executive director will report performance results, issues and trends to the Board of Directors and/or Executive Committee.  
4. The FOCIS Board of Directors may hire a financial advisor to manage the organization’s financial assets. On an annual basis, the Executive Committee shall provide any financial advisor with a target allocation strategy that reflects the risk-tolerance of the organization. |
3.1 General

- In the event that a FCE Director leaves their center, the FCE Committee is notified. The committee reviews the list of names of succeeding directors that was provided during the last annual report. If none of the succeeding directors are available, the FCE Committee will go to the center’s Executive Committee roster for additional names. A representative from the FCE Committee will contact the new director to speak with them about their interest in being the FCE Director. If they are interested a letter of invitation is sent to the new director along with the FCE Director Commitment Form. When the director accepts the invitation, a FCE orientation packet is sent that contains a FCE roster, FCE website password and login, calendar of events, FOCIS course descriptions, and FOCIS staff liaison information. (EC: 2/13/08)

- Successful FOCIS Centers of Excellence should: (BOD: 3/7/07)
  - Have institutional buy in and strong leadership
  - Be made accountable
  - Be led by a Steering Committee comprised of members of different departments
  - Meet regularly to conduct recurring interdisciplinary activities: seminars, joint clinics; compete for travel awards; encourage fellow training across disciplines; use food to entice participation at regular meetings.

- The most important aspects of the FOCIS Centers of Excellence include: (BOD: 3/7/07)
  - Identifying immunology as a discipline and fostering cross-disciplinary interaction
  - Setting up clinical trials (x4)
  - Developing a comprehensive plan that would accelerate multi-center clinical trials
  - Advancing a cross-disciplinary approach to clinical trials that only FOCIS nurtures (i.e.: not a TrialNet initiative)
  - Providing travel awards
  - Giving trainees opportunities to present their work
  - Leveraging FCEs as a membership base
  - Creating immunology centers (trainees and CTUs as a key component)

- The FCE Designation Maintenance Report should be prepared annually to inform FCEs about the activities important to maintaining their membership. (EC: 9/12/07)

- Feedback regarding presenters and topics should be received from the FCE Director and NOC Members for the Winter Director's Forum. (EC: 4/19/05)

3.2 Accreditation

- FOCIS will not provide CME joint sponsorship while provisionally accredited. (BOD: 2/18/09)

- An FCE will be considered inactive if the center is not represented by a director (or designee) at two consecutive Winter Directors Forums or is not represented by sending trainees to 2 consecutive Trainee Satellite Symposia (TSS) or FOCIS FCE Fusion Events. These measures will go into effect in 2006. (FCE Winter Forum: 2/6/05)

- Continual compliance with the Request for Proposal outline is required to maintain FCE designation 10/6/2004 – Steering Committee. (EC: 3/15/04)

- Centers who apply prior to July 1 will receive notification in August. Centers who apply after July 1 will receive notification in December.
3.3 Guidelines for Addition of FOCIS Centers of Excellence

The FOCIS Executive Committee will evaluate requests for designation of new Centers of Excellence, and will inform the FOCIS Steering Committee of new centers.

For consideration of a new center or conversion of a pending center to a full center the following are required:

1. A written request to the FOCIS Center of Excellence Chair with request to be a Center of Excellence or fully accredited center.
2. A sponsorship letter from at least one member of the FOCIS Steering Committee, or a FOCIS Center of Excellence Director. It is important that this sponsor have personal knowledge of the proposed center, and ideal if a physical visit to the institution has occurred by the sponsor.
3. For conversion from pending center to full center, consistent attendance by a representative of the pending center at the FCE Directors Meeting as well as the FOCIS Annual Meeting, and attendance by trainees at the FCE Fusion Event (formerly Trainee Satellite Symposium).
4. A FOCIS Center is identified as a multidisciplinary group, based in an academic institution, encompassing three or more subspecialties/disease groups/organ systems.
5. The application and request for conversion to full center should address at least the following:
   a) Mission Statement
   b) Governance System and Infrastructure
   c) Research and Personnel
   d) Clinical Innovation and Patient Registry
   e) Education
   f) Community Outreach and Advocacy

Governance Requirements:
- Documented support from the Dean's office or equivalent administrative office
- A sponsorship letter from at least one member of the FOCIS Steering Committee, or a FOCIS Center of Excellence Director
- Identified director who agrees to lead the center for a minimum of three years
- Identified diverse faculty representing three or more clinical specialties that are a part of your center
- Planned infrastructure for administration and other potential center cores
- Planned lay advisory council focused on strategic development, fundraising, and community outreach

Examples of Research and Personnel Details:
- Described focus areas in basic and clinical research, the human biology components, and the goals for multidisciplinary activities.

Examples of Clinical Innovation Registry Activities
- Described programs engaged in clinical immunology, and proposed goals for multidisciplinary activity and clinical innovation in therapy.
- Described interest in participating in a national, patient registry among the FOCIS Centers.

Example of Education Activities:
- A clearly articulated education program serving the mission of the center.

Examples of Outreach and Advocacy
- Opportunities or plans for CME and lay group education highlighting the interdisciplinary nature of clinical immunology.
- Potential advocacy activities with patients, patient groups, lay community, and government.

3.4 FCE Directors Meeting
- FCE Directors will receive up to $750 in travel reimbursement for Annual Meeting attendance. (EC:12/5/05)
4.1 **Education**

- One objective of nominating new committee members is to develop candidates for future succession. Education Committee membership should also generate broader participation from FCEs and Member Societies. (EC:7/11/07)

- The Education Committee’s goals should be expanded to include the improvement of needs assessment and outcomes analysis. (EC:4/9/07)

- The most important aspects of FOCIS Educational Programs as defined by the Board include: (BOD:3/7/07)
  - Annual Meeting
  - FCE Fusion (formerly Trainee Satellite Symposium)
  - Grants to investigators and trainees
  - Courses
  - White or Position Papers
  - Educational programs within other meetings
  - Courses/meetings
  - Trainee education through the number of different educational mechanisms

- As set forth in the 2005-2008 Strategic Plan, the Education Committee is charged with the responsibility of creating educational programs that maintain, develop or increase the knowledge, understanding, skills and professional performance of trainees and investigators in the broad field of clinical immunology by: (EC:6/5/06)
  - Increasing response and utilization of course evaluations.
  - Increasing number of graduate school programs in translational immunology.
  - Driving the establishment of educational programs in translational immunology.
  - Partnering with Member Societies and industry to deliver interdisciplinary educational programs.

- FOCIS also strives to educate basic scientists so they are able to understand the pathogenesis of immunological disease and the principles of clinical research. To that end the Education Committee is responsible for working towards the following goals: (EC:6/5/06)
  - Increase number of institutions that institute FOCIS-developed programs.
  - Evaluate programs, develop a curriculum, and extend to FOCIS Centers of Excellence (FCE).
  - Offer a one-day course on the clinical side of immunology for basic scientists.

- The Education Committee will report committee activity monthly via conference call. The Education Committee Chair should oversee committee activity with committee members and a staff liaison to prepare a report prior to the call.

- In the maintenance and development of educational programs the CME Chair will work closely with the Education Committee to ensure that programs are planned and conducted in accordance with the guidelines set forth by the ACCME. (EC: 6/5/06)

- The board of directors agreed to discontinue offering CME credits for all current and future FOCISed courses (BOD: 6/23/16)

**Advanced Course in Basic & Clinical Immunology**

- The travel policy shall remain the same as 2006 policy -- $500 for air, $200 for ground, lodging and meals covered and $1,000 honorarium. FOCIS will not reimburse for panel speakers. (EC: 1/15/07 w/ Organizing Committee)
- Speakers are awarded a $750 honorarium. Speakers and panel discussion participants will be reimbursed up to $1,000 for coach airfare and $200 ground travel expense and provided with complimentary hotel accommodation for the duration of the course; incidental hotel expenses will not be reimbursed. (EC:9/12/05)
- Up to two clinical fellows from each FCE are eligible to receive a $1200 travel award reimbursement. (EC: 5/14/08)

- Basic Immunology for Clinicians
  - Speakers receive $2,500 honorarium, coach flight up to $500, reimbursement of expenses.

4.2 Development

- An endowed lectureship initiative will be initiated to honor a distinctive contributor to translational immunology and raise funds to support FOCIS. This could link to Lifetime Achievement Award. (BOD: 6/7/07)

- Sponsorships must be coordinated through the FOCIS office and must be endorsed by the Executive Committee/Finance Committee. (EC: 4/23/07)

- Development Committee is charged with developing and maintaining industrial, philanthropic and NIH support. (EC: 12/14/04)

4.3 Industry Liaison Council (ILC)

- The Steering Committee agreed that interaction with ILC members at social events is crucial. A suggestion was made to set up a conference call one week prior to Annual Meeting to assign tasks.

- ILC Members will be asked to judge posters at the Trainee Satellite Symposium (TSS). The poster session will include 2 trainees from each center. ILC members should plan to have 2 Representatives attend. (FCE Winter Forum: 2/7/04)

- ILC will meet twice annually: once at Winter Forum and once at the Fall ILC Meeting. (FCE Winter Forum: 2/7/04)
- ILC Members should assign themselves to a task force. (FCE Winter Forum: 2/7/04)

5.5 Publications

- FOCIS members who submit papers to Clinical Immunology are guaranteed to have their papers sent out for review. (Publications Cmte: 6/20/2012)
6.1 Whistleblower Policy

General
The Federation of Clinical Immunology Societies (FOCIS) Code of Ethics and ("Code") requires officers, Steering Committee representatives and employees to observe high standards of business and personal ethics in the conduct of their duties and responsibilities. As employees and representatives of FOCIS, we must practice honesty and integrity in fulfilling our responsibilities and comply with all applicable laws and regulations.

Reporting Responsibility
It is the responsibility of all officers, Steering Committee representatives and employees/contracted staff to comply with the Code and to report violations or suspected violations in accordance with this Whistleblower Policy.

No Retaliation
No director, officer or employee/contracted staff who in good faith reports a violation of the Code shall suffer harassment, retaliation or adverse employment consequence. An employee/contracted staff who retaliates against someone who has reported a violation in good faith is subject to discipline up to and including termination of employment. This Whistleblower Policy is intended to encourage and enable employees and others to raise serious concerns within FOCIS prior to seeking resolution outside the organization.

Reporting Violations
The Code addresses FOCIS' open door policy and suggests that employees/contracted staff share their questions, concerns, suggestions or complaints with someone who can address them properly. In most cases, an employee’s supervisor is in the best position to address an area of concern. However, if someone is not comfortable speaking with their supervisor or is not satisfied with the supervisor's response, the individual is encouraged to speak with someone in the Human Resources Department or anyone in management. Supervisors and managers are required to report suspected violations of the Code of Conduct to FOCIS' Compliance Officer, who has specific and exclusive responsibility to investigate all reported violations. For suspected fraud, or when someone is not satisfied or is uncomfortable with following FOCIS' open door policy, individuals should contact FOCIS' Compliance Officer directly.

Compliance Officer
The FOCIS Compliance Officer is responsible for investigating and resolving all reported complaints and allegations concerning violations of the Code and, at his discretion, shall advise the Executive Director and/or the Audit Committee. The Compliance Officer has direct access to the Audit Committee of the Executive Committee and is required to report to the Board of Directors at least annually on compliance activity. FOCIS' Compliance Officer is the chair of the Audit Committee.

Accounting and Auditing Matters
The Audit Committee shall address all reported concerns or complaints regarding corporate accounting practices, internal controls or auditing. The Compliance Officer shall immediately notify the Audit Committee of any such complaint and work with the committee until the matter is resolved.

Acting in Good Faith
Anyone filing a complaint concerning a violation or suspected violation of the Code must be acting in good faith and have reasonable grounds for believing the information disclosed indicates a violation of the Code. Any allegations that prove not to be substantiated and which prove to have been made maliciously or knowingly to be false will be viewed as a serious disciplinary offense.
Confidentiality
Violations or suspected violations may be submitted on a confidential basis by the complainant or may be submitted anonymously. Reports of violations or suspected violations will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation.

Handling of Reported Violations
The Compliance Officer will notify the sender and acknowledge receipt of the reported violation or suspected violation within five business days. All reports will be promptly investigated and appropriate corrective action will be taken if warranted by the investigation.

Compliance Procedures
A Compliance Officer is encouraged to ensure that the FOCIS Whistleblower Policy (see Primary Operating Documents) can be enacted properly to investigate complaints and violations in a nonbiased way. The FOCIS Compliance Officer will have all of the tools needed (outlined below) to launch an investigation into complaints evolving from personnel issues, financial issues, fraud and violations of the FOCIS Code of Ethics (found in the Primary Operating Documents).

Responsibilities
The FOCIS Compliance Officer is responsible for fielding all complaints about the organization and filtering them to the appropriate entity for investigation. The Compliance Officer will have contact information for the FOCIS Executive Director, FOCIS Audit Committee and outside accounting firm, FOCIS Executive Committee and Association Acumen, LLC.

Upon receipt of a complaint, the Compliance Officer will forward the complaint to one of the four entities listed above for investigation. The forwarding of complaints will be as follows:

<table>
<thead>
<tr>
<th>Complaint regarding:</th>
<th>Complaint forwarded to:</th>
</tr>
</thead>
<tbody>
<tr>
<td>FOCIS Executive Staff Member</td>
<td>FOCIS Executive Director</td>
</tr>
<tr>
<td>FOCIS Executive Director</td>
<td>FOCIS President</td>
</tr>
<tr>
<td>Financial matters</td>
<td>FOCIS Audit Committee</td>
</tr>
<tr>
<td>FOCIS Code of Ethics</td>
<td>FOCIS Executive Committee or Executive Director</td>
</tr>
<tr>
<td>FOCIS Executive Committee Member</td>
<td>FOCIS Executive Director</td>
</tr>
</tbody>
</table>

The FOCIS Compliance Officer shall chair the FOCIS Audit Committee. The Audit Committee shall be an ad-hoc committee, and shall be convened only when a legitimate financial complaint has been received. The purpose of the FOCIS Audit Committee is to investigate financial matters to the fullest extent and make a recommendation to the FOCIS Executive Committee for action on the complaint received. The action shall then be forwarded to the FOCIS Board of Directors for final approval of the action taken.

The FOCIS Compliance Officer is also responsible for reporting any and all activity to the FOCIS Executive Council each year at its annual business meeting, held in conjunction with the FOCIS Annual Meeting. The report shall outline any inquiries or complaints received, the investigations, and any actions taken.

Methods
The method for filing a complaint is as follows:

The contact information (name and address) of the FOCIS Compliance Officer will be listed on the FOCIS website. The information will also be available in the FOCIS Annual Meeting Final Program, as well as in the Final Program for any educational meetings, sessions, business meetings or symposia sponsored by FOCIS. This may include, but is not limited to: TSS, Update, Advanced Course, ILC, NOC and FCE meetings.

A FOCIS member may contact the FOCIS Compliance Officer through any of the methods listed above and make a good faith inquiry regarding the FOCIS Code of Ethics without fear of retaliation (see FOCIS Whistleblower Policy).
Once a complaint is received, the FOCIS Compliance Officer will evaluate the validity of the complaint and upon determining such validity, will forward it to one of the following entities for consideration:

Regarding fraud, financial dishonesty or methods of FOCIS financial recordkeeping, the complaint shall be forwarded to:

**FOCIS Audit Committee:** FOCIS Compliance Officer, Chair
Jordan S. Pober, MD, PhD
Yale University
10 Amistad Street Rm 401D New Haven, CT 06536
(203) 457-9149
jordan.pober@yale.edu

If the complaint is regarding a member of the FOCIS Executive Staff, the complaint shall be forwarded to:

**FOCIS Executive Director**
Mike Mathy
FOCIS Executive Office
mmathy@focisnet.org
N83 W13410 Leon Road | Menomonee Falls, WI 53051
Phone: (414) 359-1670 ext. 1108

If the complaint is regarding the FOCIS Executive Director, a speaker at a FOCIS meeting or function, or a member of the FOCIS Steering Committee or Executive Committee, the complaint shall be forwarded to:

**FOCIS President**
Jeff Bluestone, PhD
University of California-San Francisco
513 Parnassus Ave San Francisco, CA 94143
Phone: (415) 514-0417
Email: jeff.bluestone@ucsf.edu

If the complaint is not handled satisfactorily, or if the claimant feels uncomfortable going to the FOCIS President or FOCIS Executive Director, the complaint shall be forwarded to:

**FOCIS Compliance Officer**
Jordan S. Pober, MD, PhD
Yale University
10 Amistad Street Rm 401D New Haven, CT 06536
(203) 457-9149
jordan.pober@yale.edu
Prelude
The Federation of Clinical Immunology Societies (FOCIS) is a not-for-profit organization, recognized by section 501 (c)(3) of the Internal Revenue Code. FOCIS is not organized to and may not play any role in the competitive decisions of its members or their employees, nor in any way restrict competition among members or potential members. Rather it serves as a forum for a free and open discussion of diverse opinions without in any way attempting to encourage or sanction any particular business practice.

FOCIS provides a forum for exchange of ideas in a variety of settings including its annual meeting, educational programs and committee meetings. The Executive Committee and Steering Committee recognize the possibility that FOCIS and its activities could be viewed by some as an opportunity for anti-competitive conduct. Therefore, this policy statement clearly and unequivocally supports the policy of competition served by the antitrust laws and communicates FOCIS’ uncompromising policy to comply strictly in all respects with those laws.

While recognizing the importance of the principle of competition served by the antitrust laws, FOCIS also recognizes the severity of the potential penalties that might be imposed on not only FOCIS but its members as well in the event that certain conduct is found to violate the antitrust laws. Should FOCIS or its members be involved in any violation of federal or state antitrust laws, such violation can involve both civil and criminal penalties that may include imprisonment for up to 3 years as well as fines up to $350,000 for individuals and up to $10,000,000 for FOCIS, plus attorney fees. In addition, damage claims awarded to private parties in a civil suit are tripled for antitrust violations. Given the severity of such penalties, the Executive Committee and the Steering Committee intend to take all necessary and proper measures to ensure that violations of the antitrust laws do not occur.

Policy
In order to ensure that FOCIS and its members comply with antitrust laws, the following principles will be observed:

- FOCIS or any committee, task force, or activity of FOCIS shall not be used for the purpose of bringing about or attempting to bring about any understanding or agreement, written or oral, formal or informal, expressed or implied, among two or more members or other competitors with regard to prices or terms and conditions of contracts for services or products. Therefore, discussions and exchanges of information about such topics will not be permitted at FOCIS meetings or other activities.

- There will be no discussions discouraging or withholding patronage or services from, or encouraging exclusive dealing with any supplier or purchaser or group of suppliers or purchasers of products or services, any actual or potential competitor or group of actual potential competitors, or any private or governmental entity.

- There will be no discussions about allocating or dividing geographic or service markets or customers.

- There will be no discussions about restricting, limiting, prohibiting, or sanctioning advertising or solicitation that is not false, misleading, deceptive, or directly competitive with FOCIS products or services.

- There will be no discussions about discouraging entry into or competition in any segment of the marketplace.

- There will be no discussions about whether the practices of any member, actual or potential competitor, or other person are unethical or anti-competitive, unless the discussions or complaints follow the prescribed due process provisions of the FOCIS bylaws.
Certain activities of FOCIS and its members are deemed protected from antitrust laws under the First Amendment right to petition government. The antitrust exemption for these activities, referred to as the Noerr-Pennington Doctrine, protects ethical and proper actions or discussions by members designed to influence: 1) legislation at the national, state, or local level; 2) regulatory or policy-making activities (as opposed to commercial activities) of a governmental body; or 3) decisions of judicial bodies. However, the exemption does not protect actions constituting a "sham" to cover anticompetitive conduct.

Speakers at committee meetings, educational programs, or other business meetings of FOCIS shall be informed that they must comply with FOCIS' antitrust policy in the preparation and the presentation of their remarks.

Meetings will follow a written agenda. Minutes will be prepared after the meeting to provide a concise summary of important matters discussed and actions taken or conclusions reached.

At informal discussions at the site of any FOCIS meeting, all participants are expected to observe the same standards of personal conduct as are required of FOCIS in its compliance.
Document Destruction Policy
Approved by Executive Committee – March 27, 2006
Adopted by Steering Committee – June 5, 2006

After One Year:
Personnel employment applications*
Routine correspondence of unimportant nature with customers or vendors

After Three Years:
Bank reconciliations*
Expired insurance policies
General correspondence
Internal audit reports and working papers
Internal reports
Membership applications
Registration records

After Seven Years:
Accident reports and claims*
Accounts payable and receivable ledgers*
Bank statements
Cancelled checks (except under permanent records)
Cancelled stock and bond certificates and expired options
Cash books
Commission records
Contracts and leases (expired)
Employee personnel records after termination*
Employment tax reports*
Expense reports
General journals
Inventory records (products, materials, supplies)
Invoices to customers and from vendors
Payroll records and summaries, including*
Retirement plan accounting records*
Sales records
Stock and bond certificates (cancelled)
Subsidiary ledgers to the general ledger and trial balances*

*Maintained by Association Acumen

Permanent Records
Articles of Incorporation
Audit reports of CPAs
Check stubs and supporting documents for important payments (taxes, special contracts, etc.)
Capital stock and bond records (ledger, transfer registers, stubs, interest coupons, etc.)
Cash books
Chart of accounts
Copyrights
Correspondence (legal and important matters only)
Deeds, mortgages, and bills of sales, as well as contracts and leases still in effect
Depreciation schedules
Financial statements – end of year (other months optional)
General and private ledgers
Insurance records, accident reports, claims policies
Licenses and permits
Minute books of directors, including by-laws and charter
Property records – including costs, depreciation reserves, and end-of-year trial balances, depreciation schedules, blueprints and plans
Tax returns and worksheets, documents relating to determination of income tax liability
Trademark registrations
The Steering Committee (SC) and Board of Directors (BOD) are responsible for ensuring the long-term stability and integrity of the Federation of Clinical Immunology Societies (FOCIS). Leaders commit to guiding and governing the organization by fulfilling the following responsibilities:

▪ Support the FOCIS mission statement: “To improve human health through immunology.”
▪ Maintain active membership in your Member Society; advocate for FOCIS and your Member Society.
▪ Attend BOD or SC meetings and conference calls and actively participate in decision-making.
▪ Share your area of expertise with the rest of the committee and staff.
▪ Participate in strategic planning activities and regular assessments to improve committee performance.
▪ Partner with the executive director to accomplish the mission.
▪ Assist the abstract chair by providing at least two abstract reviewers for each annual meeting.
▪ Work to develop new leadership and recommend board members, committee chairs and committee members.
▪ Participate in the organization’s conferences and meetings.
▪ Fulfill the duties of care, obedience and loyalty to the organization (outlined on page two).
▪ Obtain various means of support and participation for the organization, such as sponsorships, advertisers, members, partners, exhibitors, speakers, etc.

Desired Skills and Experience
▪ Knowledge of the FOCIS history, mission, goals, bylaws and policies.
▪ Ability to handle FOCIS business with tact, enthusiasm and commitment.

▪ Ability to communicate effectively and motivate committee members.
▪ Ability to take responsibility and follow through on assignments; work well with individuals as well as in a group.
▪ Knowledge of the scientific community and commitment to maintaining a strong organization that is responsive to the membership.

Term of Service
Members of the SC are elected by their Member Society and may be re-elected according to their Member Society bylaws. Members of the BOD are elected by the SC. The president and vice president each serve a two year term. The vice president ascends to the position of president at the completion of his or her term. The secretary/treasurer serves a three year term.

Reimbursement
SC members are reimbursed up to $750 for meeting-related expenses associated with participation at the annual business meeting. SC and BOD members receive complimentary registration for the annual meeting. BOD members may receive up to $1,000 reimbursement for meeting-related expenses. There is no financial compensation for serving on the SC or BOD.

Time Commitment
The amount of time required will vary with organizational roles; estimated to require 5 to 10 hours per month.

Benefits of Leadership Service
▪ An opportunity to improve human health through immunology.
▪ Opportunity to identify needs, support and achieve organization and professional goals.
Enhance experience in building and working with teams. Increase knowledge of FOCIS activities and resources.
Promote and develop leadership in others.
Help to shape the organization’s direction and future.
Contribute to the development of a broad, multi-disciplinary immunologic community.

Principles of Obedience, Loyalty and Care
The duty of obedience forbids acts outside the scope of corporate powers. FOCIS governing bodies must comply with state and federal law, and conform to the FOCIS Articles of Incorporation and Bylaws. Leaders must exercise reasonable care, good faith and due diligence in governing and managing affairs.

The duty of loyalty dictates that Member Society representatives, officers and directors act in good faith by exercising the powers invested for the good of all members of the organization and the immunological community rather than for personal benefit. Even a potential conflict of interest requires full disclosure, at the earliest opportunity, of information that may result in a perceived or actual conflict of interest or information of fact that would have significance in BOD or SC decision-making.

The duty of care requires Member Society representatives, directors and officers to be diligent and prudent in managing FOCIS affairs. Individuals charged with governing must handle the organizational duties with such care as an ordinary prudent person would use under similar circumstances. The BOD is accountable for prudent fiscal management to Member Societies, the nonprofit sector, the immunological community and, where applicable, to government and funding bodies. Leaders must ensure the right of all Member Society members to access benefits and services without discrimination on the basis of culture, geography, political, religious or socio-economic aspects, gender, sexual orientation, national origin, race, religion, age, political affiliation or disability. Leaders should respect the confidentiality of sensitive information known through committee service and used for the purposes of governance and management and respect the diversity of opinions as expressed or acted upon by the committees and membership, and formally register dissent as appropriate. Leaders will strive to promote collaboration, cooperation, and partnership among Member Societies and FOCIS Centers of Excellence.

Personal Commitment
I (print name) ____________________________ am willing to make every effort to fulfill the FOCIS Steering Committee or Board of Directors responsibilities as outlined above.

Signature:__________________________________
Date:______________________________________