

University Health Network Policy & Procedure Manual

Administrative: Relationship Attestation & Disclosure

Policy

As a publicly funded institution, University Health Network (UHN) has an obligation to preserve public trust and protect the integrity of UHN's mission, which is to provide exemplary patient care, education and research. In order to maintain the highest standard of public trust and integrity, it is expected that [staff members](#) will carry out their duties honestly, responsibly and in accordance with the highest ethical standards and professional integrity. It is recognized that [relationships](#) exist between UHN and/or UHN staff members and third-party individuals/entities, and that these relationships are critical to fulfill UHN's mission. At the same time, these relationships may give rise to benefits (actual or perceived) for UHN staff members and/or UHN itself, and this may increase the potential for conflicts of interest to arise. As a first step in identifying and managing any potential conflicts of interest, all staff members are required to disclose relevant relationships.

UHN staff members must complete a Relationship Attestation and Disclosure Form annually, and on a transactional basis as new relationships arise, to disclose relationships that influence, or may be perceived to influence, a staff member's duty to patients and their roles, responsibilities and commitments to UHN, and to attest that the staff member is in compliance with this policy.

Disclosures will be managed in a manner that promotes consistency across UHN and may be referred to the UHN Relationship Management Committee (RMC)/UHN Research Subcommittee of the RMC, which will review disclosures and develop management plans, as appropriate, for the purpose of mitigating any actual or perceived conflicts.

Members of the Board of Directors and Members of a Committee of the Board of Directors of UHN are required to participate in a disclosure process, and to disclose all relevant relationships pursuant to the UHN Board and Board Committee Conflict of Interest Policy.

Note: The requirement to disclose relationships under this policy does not replace any other disclosure requirements that may be applicable external to UHN (e.g. funding agencies, journals, presentations, public communication, guideline committees, etc.). It is expected that staff will adhere to any necessary external disclosure requirements.

This material has been prepared solely for use at University Health Network (UHN). UHN accepts no responsibility for use of this material by any person or organization not associated with UHN. No part of this document may be reproduced in any form for publication without permission of UHN. A printed copy of this document may not reflect the current, electronic version on the UHN Intranet.

Policy Number	1.30.009	Original Date	07/18
Section	Legal Affairs	Revision Dates	02/19; 07/19; 10/20
Issued By	Compliance	Review Dates	
Approved By	UHN Board of Directors	Page	1 of 9

Vendors

[Staff members](#) must not accept or solicit, directly or indirectly, any offers from vendors which do not comply with UHN procurement policies.

Note: Consult with [Procurement Management](#) regarding any interactions with vendors.

Personal Gifts

[Staff members](#) must not accept or solicit, directly or indirectly, gifts for personal benefit from third parties, including vendors (including but not limited to, meals, industry sponsored dinners or events, entertainment, favours, goods or services).

Meals served as part of educational events, fundraising activities or business meetings will not be construed as a conflict of interest provided that they comply with any relevant UHN policies and, where applicable, the University of Toronto Faculty of Medicine guidelines, [Relationships with Industry and the Educational Environment in Undergraduate and Postgraduate Medical Education](#).

Funding to attend a charitable event to benefit UHN will not be construed to create a conflict of interest. For clarity, gifts made to a UHN-associated Foundation or to UHN are not considered personal gifts to staff members.

Staff members shall not solicit gifts from patients and/or their families, and should abstain from accepting gifts that fall outside the considerations outlined below. Prior to determining whether to accept a team gift or an individual gift, the staff member recipient shall consider:

- whether the patient/family giving the gift is mentally competent;
- whether the patient/family expects anything in return for giving the gift;
- the potential for negative feelings on the part of other patients who may not be able to, or choose not to give gifts to staff members;
- the monetary value of the gift;
- cultural norms applicable to gifts that are applicable in the circumstances, if any;
- any applicable regulatory requirements; and
- if refusal of the gift would harm the patient-staff member relationship.

Staff members and volunteers are to discuss situations of actual or potential conflict of interest with their supervisor or department head.

This material has been prepared solely for use at University Health Network (UHN). UHN accepts no responsibility for use of this material by any person or organization not associated with UHN. No part of this document may be reproduced in any form for publication without permission of UHN. A printed copy of this document may not reflect the current, electronic version on the UHN Intranet.

Policy Number	1.30.009	Original Date	07/18
Section	Legal Affairs	Revision Dates	02/19; 07/19; 10/20
Issued By	Compliance	Review Dates	
Approved By	UHN Board of Directors	Page	2 of 9

Activities and Interests Requiring Disclosure

Conducting Hospital Business

[Staff members](#) are required to disclose any [hospital business](#) that the staff member conducts, or recommends that UHN and/or its foundation(s) conduct, with:

- a [personal associate](#) or
- a company in which the staff member or a personal associate
 - a. have a personal and/or a [financial interest](#)
 - b. are an officer, corporate board director or trustee or have a similar duty

Consulting Activities

[Staff members](#) are required to disclose any [consulting](#) agreement(s) and activities that they have entered into with any organization or person, insofar as these agreements or activities relate to the staff member's roles, responsibilities and commitments to UHN, and its patients and/or research participants.

Generally, the following activities will **not** be considered to be consulting:

- speaking engagements at academic institutions or other academic work, participation in collegial seminars, or visiting professorships
- honoraria or expense reimbursement from not-for-profit or government organizations
- professional services provided under a hospital service provider contract with another company (e.g. performing independent medical evaluations pursuant to a UHN agreement with WSIB)
- serving as an editor or part of on an editorial board of a medical or scientific journal or a medical or scientific reference textbook
- professional affiliations with governmental agencies or advisory groups to not-for-profit institutions
- acting as a peer reviewer or participating in granting agency peer-group review panels
- clinical consultation

External Appointments

[Staff members](#) are required to disclose any positions or [appointments](#) held outside of UHN, insofar as they relate to a staff member's roles, responsibilities and commitments to UHN and its patients and/or research participants.

The following appointments do **not** require disclosure:

- academic appointments or medical privileges at other institutions
- membership on peer group review panels
- acting as a corporate board director or officer in the staff member's medical

This material has been prepared solely for use at University Health Network (UHN). UHN accepts no responsibility for use of this material by any person or organization not associated with UHN. No part of this document may be reproduced in any form for publication without permission of UHN. A printed copy of this document may not reflect the current, electronic version on the UHN Intranet.

Policy Number	1.30.009	Original Date	07/18
Section	Legal Affairs	Revision Dates	02/19; 07/19; 10/20
Issued By	Compliance	Review Dates	
Approved By	UHN Board of Directors	Page	3 of 9

- professional corporation
- editorial board positions

Grants/Contracts and Other Funding

[Staff members](#) are required to disclose any funding from any for-profit companies or private foundations (whether received directly, through UHN, including through a department, or via a UHN Foundation) which support a staff member's clinical or other hospital activities (e.g. fellowship salary or educational activity support). The funding can be through grants, donations or other financial awards or through any other non-[consulting](#) related contracts.

Funding from the following sources do **not** require disclosure:

- government
- not-for-profit or public sector sources, e.g. World Health Organization, Genome Canada
- public foundations, e.g. Heart & Stroke Foundation
- fundraising events

Staff members are also required to disclose any funding or in-kind support received from a company/organization for research/quality improvement projects if they possess a corresponding personal or financial interest with the company/organization that provides the support.

Holdings

[Staff members](#) are required to disclose their or their [personal associate's](#) holdings in a company operating in areas related to the staff member's professional field or discipline, hospital operations, or the delivery of healthcare, and which relate to the staff member's roles, responsibilities and commitments to UHN and its patients and/or research participants.

This does **not** include indirect ownership through mutual funds, exchange traded funds, or similar securities. This also does not include ownership of widely held publicly traded shares, **unless the staff member is conducting research involving such corporation's products or services.**

Intellectual Property

[Staff members](#) are required to disclose any [intellectual property](#) which they have invented or own that is licensed to or acquired by a company/organization, and where the staff member or a [personal associate](#):

- has a personal and/or [financial interest](#) in a company/organization that has licensed or acquired the intellectual property, **or**
- is an officer, corporate board director or trustee, or have a similar duty in a

This material has been prepared solely for use at University Health Network (UHN). UHN accepts no responsibility for use of this material by any person or organization not associated with UHN. No part of this document may be reproduced in any form for publication without permission of UHN. A printed copy of this document may not reflect the current, electronic version on the UHN Intranet.

Policy Number	1.30.009	Original Date	07/18
Section	Legal Affairs	Revision Dates	02/19; 07/19; 10/20
Issued By	Compliance	Review Dates	
Approved By	UHN Board of Directors	Page	4 of 9

- company/organization that has licensed or acquired the intellectual property, **or**
 - has a financial interest as inventor(s).

Foreign Affiliations

[Staff members](#) are required to disclose any positions, associations, affiliations, employment, or appointments to non-U.S. foreign institutions and/or any relationships for which they receive any direct or indirect benefits, including funding received abroad, from a non-U.S. international source, whether private, government, or academic.

Other Activities

[Staff members](#) are required to disclose any other [relationships](#) they or their [personal associate](#) have not already disclosed that may be perceived to impact the staff member's ability to impartially and objectively fulfill their duties to UHN.

If in doubt as to whether certain activities or situations could be perceived to impact a staff member's role, the staff member should disclose the relationship, as the disclosure process can provide an objective review to identify and prevent any potential issues.

Consequences for Non-Compliance

A [staff member's](#) failure to make proper disclosures, to follow a prescribed management plan, or to otherwise comply with this UHN policy may be grounds for corrective action.

Review of Policy

This policy will be reviewed by the Relationship Management Committee (Committee) every two years, and revised as required.

Confidentiality

The disclosures made further to this policy will not be divulged outside of the committee without the written consent of the person making the disclosure, with the exception that information may be shared/divulged:

- by UHN for the purposes of complying with its operational policies (including this policy); however, in such circumstances the individuals having access to the disclosed information will be on a "need to know" basis, and further restricted regarding use and disclosure (as appropriate for the context);
- for the purposes of complying with applicable laws.

Relationship Attestation & Disclosure Process

1. [Staff members](#) must complete a Relationship Attestation and Disclosure Form annually, and on a transactional basis.

This material has been prepared solely for use at University Health Network (UHN). UHN accepts no responsibility for use of this material by any person or organization not associated with UHN. No part of this document may be reproduced in any form for publication without permission of UHN. A printed copy of this document may not reflect the current, electronic version on the UHN Intranet.

Policy Number	1.30.009	Original Date	07/18
Section	Legal Affairs	Revision Dates	02/19; 07/19; 10/20
Issued By	Compliance	Review Dates	
Approved By	UHN Board of Directors	Page	5 of 9

2. An initial review of the completed Relationship Attestation and Disclosure Form will be conducted to ascertain whether any disclosed [relationships](#) may require a management plan.

Note: In any review of consideration of a relationship disclosure, the staff member disclosing the matter may be asked to provide additional information.

3. Relationship disclosures will be considered in light of the following:
 - The extent to which the disclosed relationship will affect the ability of the staff member to meet their duties, responsibilities and commitment to UHN.
 - The importance of the relationship to the mission of UHN, as well as any potential consequences that might result from the relationship (e.g. the effect of public perception on the activities taking place at UHN or on the practices of other staff members).
 - The extent to which the activity can be accommodated and managed without interfering with work being carried out at UHN or raising public perception concerns.
4. If it is determined that a disclosed relationship may give rise to a real or perceived conflict of interest, but that the relationship can be managed so as to allow the activity to proceed, a management plan shall be developed by the Compliance Office and/or the Committee. To ensure consistency and efficiency, commonly disclosed relationship types will be identified by the Compliance Office and Committee and standard management plans will be developed for such relationships.
5. All management plans will be issued to the disclosing staff member in writing, and plans are considered effective two weeks after they have been issued. If a staff member has concerns about their plan, the staff member should contact the Compliance Office within this two week period of time. The disclosing staff member is expected to follow the requirements set out in the plan. Management plans will also be copied, as applicable, to the discloser's department/division head, other relevant departments (e.g. procurement, commercialization, research, and legal departments), research institute directors, or the senior management team's immediate supervisor. If a staff member is asked to return a signed management plan to the Compliance Office and fails to do so, this will be communicated to their department/division head, research institute director, or immediate supervisor, as applicable.

Note: Staff members are encouraged to discuss any difficulties regarding compliance with the terms of their management plan with their department/division head, research institute director, or immediate supervisor, as applicable.

This material has been prepared solely for use at University Health Network (UHN). UHN accepts no responsibility for use of this material by any person or organization not associated with UHN. No part of this document may be reproduced in any form for publication without permission of UHN. A printed copy of this document may not reflect the current, electronic version on the UHN Intranet.

Policy Number	1.30.009	Original Date	07/18
Section	Legal Affairs	Revision Dates	02/19; 07/19; 10/20
Issued By	Compliance	Review Dates	
Approved By	UHN Board of Directors	Page	6 of 9

6. In the event that the staff member feels they have grounds to appeal the management plan that has been proposed, they may request that the matter be reviewed as follows:
- In the case of a management plan issued by the Compliance Office, any appeal will be to the Committee.
 - In the case of a management plan issued by the Committee, individuals may provide a briefing note to the Compliance Office outlining new or different information they wish the Committee to consider and may request to appear before the Committee to ask for re-consideration based on new/different information only. Appeals from any further re-consideration decisions of the Committee will be to the chief executive officer (CEO).

Referral to Other Policies

This policy should be read in conjunction with:

- [Conflict of Interest](#) policy 2.50.002
- [Conflict of Interest of Research Personnel](#) policy 40.90.002
- [Procurement](#) policy 1.90.012
- [Green Procurement](#) policy 1.120.006
- University of Toronto's Faculty of Medicine guidelines: [Relationships with Industry and the Educational Environment in Undergraduate and Postgraduate Medical Education](#)

Implementation

This policy will come into force in a staged manner. Individual groups will be notified well in advance of the need to complete the Relationship Disclosure and Attestation Form.

Definitions

Consulting: Providing a professional service related to a person's field or discipline to a third party where the main objective is to further the interests of the third party.

Consulting shall include:

- providing advice and services to industry (e.g. a pharmaceutical or medical device company)
- acting as an advisory board member in a for-profit organization
- acting as an expert witness
- speaking engagements supported in whole or in part by a for-profit organization
- independent medical evaluations outside of UHN

External appointments: Positions or appointments held outside of UHN where a [staff member](#) is an officer, corporate board director or trustee, or has a similar duty in a for-

This material has been prepared solely for use at University Health Network (UHN). UHN accepts no responsibility for use of this material by any person or organization not associated with UHN. No part of this document may be reproduced in any form for publication without permission of UHN. A printed copy of this document may not reflect the current, electronic version on the UHN Intranet.

Policy Number	1.30.009	Original Date	07/18
Section	Legal Affairs	Revision Dates	02/19; 07/19; 10/20
Issued By	Compliance	Review Dates	
Approved By	UHN Board of Directors	Page	7 of 9

profit or not-for-profit organization, a lobby group or industry organization. These positions may or may not include financial benefit and/or ownership interests.

Financial interest: An opportunity to receive anything of monetary value, e.g. salary, royalties, fees, work-in-kind, gifts or other payments, dividends or distributions, including, through equity, partnership or beneficial interests (e.g. stocks, stock options, or other ownership interests) or [intellectual property](#) rights.

Foreign affiliation: Any position, association, affiliation, employment, or appointment to a non-U.S. foreign institution and/or any relationship for which a [staff member](#) may receive any direct or indirect benefits, including funding received abroad, from a non-U.S. international source, whether private, government or academic.

Hospital business: Having an opportunity in a [staff member's](#) role at UHN to influence transactions affecting UHN and/or its foundation(s), such as approving contracts, providing input on the engagement of individuals or companies, or recommending the purchase or use of goods (including, but not limited to participation on a procurement committee evaluating a response to a request for proposal).

Intellectual property: Inventions or discoveries (whether patentable or not), technology, technical information, know-how, trademarks, official marks, industrial designs, or literary and artistic works, and other copyrighted materials.

Personal associate: (i) spouse or spouse equivalent; (ii) a family member or other person in a close personal relationship who could be perceived to influence a staff member's roles, responsibilities and commitments to UHN and its patients and/or research participants.

Relationship: Any association, activity or situation in which a [staff member](#) or staff member's [personal associate\(s\)](#) has/have personal, business, professional, or other interests that may impact, or be perceived to impact, a staff member's roles, responsibilities and commitments to UHN and its patients and/or research participants.

Of particular importance are relationships that result in, or may result in:

- a direct or indirect financial benefit to the staff member or their personal associate;
- a gain, advantage or preferential treatment for the staff member or their personal associate;
- the use of privileged or confidential information, including personal health information, for personal gain;
- a reciprocal benefit or arrangement between the staff member and their personal associate, and an external organization or individual;
- outside interests or activities that may erode the public's trust or the trust of staff in the integrity of UHN; and,
- outside interests, activities or commitments that impede or could be perceived to impede the staff member from meeting their duty to patients and/or research

This material has been prepared solely for use at University Health Network (UHN). UHN accepts no responsibility for use of this material by any person or organization not associated with UHN. No part of this document may be reproduced in any form for publication without permission of UHN. A printed copy of this document may not reflect the current, electronic version on the UHN Intranet.

Policy Number	1.30.009	Original Date	07/18
Section	Legal Affairs	Revision Dates	02/19; 07/19; 10/20
Issued By	Compliance	Review Dates	
Approved By	UHN Board of Directors	Page	8 of 9

participants or the staff member's roles, responsibilities and commitments to UHN.

Staff member(s): UHN physicians/dentists, UHN-appointed scientists, and the senior management team.

This material has been prepared solely for use at University Health Network (UHN). UHN accepts no responsibility for use of this material by any person or organization not associated with UHN. No part of this document may be reproduced in any form for publication without permission of UHN. A printed copy of this document may not reflect the current, electronic version on the UHN Intranet.

Policy Number	1.30.009	Original Date	07/18
Section	Legal Affairs	Revision Dates	02/19; 07/19; 10/20
Issued By	Compliance	Review Dates	
Approved By	UHN Board of Directors	Page	9 of 9