

**Location:** Wisconsin

**Chapter:** Legal/Business Integrity

**Policy Title:** 4.59

**Policy Number:** Provider Interactions with Industry and Clinical Conflicts of Interest

**Effective Date:** May 24, 2023

## I. PERSONS AFFECTED (check all that apply)

Note: If an individual fits into any checked box, that individual is subject to this policy.

|                                     |  |                                     |   |
|-------------------------------------|--|-------------------------------------|---|
| <input checked="" type="checkbox"/> | UWHC or UWMF employees   | <input checked="" type="checkbox"/> | Non-employed contracted individuals (consultants, independent contractors, or agency staff) doing business remotely |
| <input checked="" type="checkbox"/> | UWHC or UWMF remote employees  |                                     | Vendors   |
|                                     | UWHC or UWMF employees, not including trainees   |                                     | Individuals involved in research (e.g., study coordinators, research nurses, etc.)                                  |
| <input checked="" type="checkbox"/> | Advanced practice providers and other non-physicians credentialed by the UW Health Medical Staff Administration Office           |                                     | Volunteers and Patient and Family Advisors  |
| <input checked="" type="checkbox"/> | SMPH-employed attending and faculty physicians and GME physicians  |                                     | Non-employed students or visiting GME physicians  |
| <input checked="" type="checkbox"/> | SMPH-employed non-physician providers  |                                     | Observers and those job shadowing   |
| <input checked="" type="checkbox"/> | SMPH-employed GME physicians in a UW Health sponsored program  |                                     | Patients  |
| <input checked="" type="checkbox"/> | GME physicians (residents and fellows in ACGME-accredited programs) and employed by UW Health                                    |                                     | Visitors  |
| <input checked="" type="checkbox"/> | GME physicians not employed by either UW Health or SMPH  |                                     | Any individual present in UW Health clinical space  |
|                                     | Non-employed contracted individuals (consultants, independent contractors, or agency staff) doing business on UW Health property |                                     | Any individual present in UW Health non-clinical space  |

## II. PURPOSE

- A. The mission of UW Health is advancing health without compromise through service, scholarship, science, and social responsibility. Our vision of Remarkable Healthcare is about the delivery of care, the education of the next generation of providers, and our world-changing research and innovation. UW Health encourages its staff and providers to participate in outside activities that further UW Health's mission and vision and promote the translation of research and innovation into improved patient care and population health. Although such collaborations provide individual, institutional, and societal benefits, they can give rise to competing and potentially conflicting interests that may – or at least appear to – compromise the integrity and objectivity of research, education, clinical care, and purchasing decisions at UW Health. Because conflicts of interest can undermine public trust in our work, the purpose of this policy is to support UW Health's culture of ethically fulfilling its mission and vision by identifying and managing situations that may give rise to UW Health Provider conflicts of interest and/or the appearance of impropriety in UW Health's relationships with Industry.

This policy is meant to:

1. Provide guidance for UW Health Providers for their interactions with Industry as well as other activities that could pose a potential conflict of interest.
  2. Assist UW Health Providers in exercising independent clinical and business judgment that is free from influence by relationships with Industry or potential clinical conflicts of interest.
  3. Assist UW Health Providers in ensuring compliance with federal, state, and local laws and regulations.
- B. UW Health recognizes that UW Health Providers have a unique opportunity to improve and advance patient care through collaboration with Industry, and that Industry possesses important knowledge about the safety and efficacy of pharmaceuticals, medical devices, and medical supplies that may be of value to UW Health Providers and benefit patients. In addition, UW Health Providers may have expertise that is beneficial to Industry. However, in certain circumstances, these relationships can improperly influence, or appear to improperly influence, clinical, purchasing, or prescribing decisions. In addition, it is a violation of federal laws to knowingly receive anything of value that induces the use or purchase of health care products and services (e.g., prescription drugs or medical devices) that are paid for by government programs, such as Medicare or Medicaid, and for physicians to refer health care services to an entity where the physician or an immediate family member has a financial interest.
- C. Interactions with Industry must serve legitimate educational, research, and/or clinical purposes, and/or contribute to better health care for patients. This policy establishes standards for appropriate interactions with Industry.
- D. This policy applies to UW Health Providers, who are also required to follow all UW and UWSMPH requirements applicable to outside activities and conflicts of interest.

### III. DEFINITIONS

- A. Approval: Documentation of the Manager's agreement for the Provider to engage in an activity. Each activity requires a separate approval, there are no blanket approvals. Such approval is for the purposes of this policy only and not approval for any other purpose, including any UW Madison purpose.
- B. CME: Continuing medical education or other accredited continuing education for non-physician providers, where applicable.
- C. Compensation: Cash or cash equivalent, in-kind goods or services, royalties, licensing fees, discounts, equity interests (including similar equity rights) or other items or services of value.
- D. Compliance Policies: UW Health Code of Conduct, and UW Health Administrative Policies 1.64 - Annual Employee Appreciation and Other Gifts, and 1.66 - Conflicts of Interest for Employees and Affiliate Directors.
- E. Disclosure Form: *Provider Interactions with Industry and Clinical Conflicts of Interest* form (available via the Business Integrity page on U-Connect), which is submitted to the UW Health Interaction with Industry Review Council. This does not include other forms required by UW Madison or UWSMPH, such as the UW Outside Activity Report (OAR).
- F. Endorsement: A public declaration of support for a person, product, company, business, or service.
- G. Industry: Pharmaceutical companies, biotechnology companies, device and medical equipment manufacturers, wholesalers, and other suppliers of health care products and services. For purposes of this policy, Industry also includes individuals, non-governmental entities, universities, or groups that are contracting on behalf of or partnering with pharmaceutical companies, biotechnology companies, device and medical equipment manufacturers, wholesalers, and other suppliers of health care products or services in promotional, marketing, or sales activity.

- H. Isthmus Project: UW Health's health care innovation program.
- I. Management Plan: A plan for addressing potential conflicts, recognizing, and managing relationships with Industry, and/or disclosing relevant information to UW Health and its patients. A management plan is needed when funds exceed \$4,999.
- J. Manager: For UW Madison faculty physicians, the physician's Chair, or designee of the Chair, or SMPH Dean or designee of the Dean, as applicable. For GME physicians (residents and fellows), the leader is the director-level administrative leader responsible for graduate medical education for the sponsoring institution. For advanced practice providers, the leader is the advanced practice provider's UW Health director-level leader or designee.
- K. Outside Engagement: Employment with or providing services to a party other than UW Madison or UW Health, including but not limited to, consulting, moonlighting, outside clinical employment, Industry-sponsored speaking engagements (e.g., promotional activities, non-accredited CME, or continuing education), participation on advisory committees or boards, providing lectures or other presentations, providing training and advice, expert testimony, product review, guidance regarding health care products, and similar activities that could potentially be competitive with UW Health's interests or create actual or perceived conflicts of interest.
- L. Professional Income: As defined by the University of Wisconsin Medical Foundation (UWMF) Bylaws.
- M. Standards for Commercial Support: Standards published by the Accreditation Council for Continuing Medical Education, the Accreditation Council for Pharmacy Education, Joint Accreditation, the American Dental Association, or other comparable accrediting bodies.
- N. UW: The University of Wisconsin - Madison.
- O. UWSMPH: The University of Wisconsin School of Medicine and Public Health.
- P. UW Health IIRC: UW Health Interaction with Industry Review Council
- Q. UW Health Providers: Includes faculty physicians and academic staff of UWSMPH, GME Physicians (residents and fellows) in UWSMPH or UW Health sponsored GME programs, and advanced practice providers employed by UW Health or UWSMPH. Providers also include non-physician UWSMPH faculty that have a dual appointment with UWMF.

#### IV. POLICY KEY ELEMENTS

This policy sets out requirements and guidelines for the following types of interactions with Industry and UW Health activities:

- Outside Engagement, and other arrangements involving Compensation
- Gifts, invitations, and free meals
- Attendance at Industry-sponsored conferences or events
- Educational grants and scholarships
- Educational materials (books, models, etc.)
- Training and education regarding use of medical devices and pharmaceuticals
- Pharmaceutical samples, discounts, and other reductions in price
- Ghostwriting
- Purchasing decisions
- Treatment decisions

These requirements are in addition to and intended to complement UW Health's other Compliance Policies.

## V. POLICY DETAILS

### A. Outside Engagements and Compensation

1. Applicability. This section applies to all Outside Engagements. Additional considerations for Outside Engagements that are Industry-sponsored speaking engagements are discussed in Section V.A.4., below. For requirements applicable to graduate medical education (GME) residents and fellows, refer to the sponsoring institution and the program policies for requirements and procedure related to such Outside Engagements.
2. Applicability of UWMF Bylaws. As a condition of employment by UWSMPH and UWMF, and as further specified in the UWMF Bylaws, and UWMF Annual Certificate (i.e., Certification of Professional Income) clinical faculty who are dually employed by UWSMPH and UWMF are required to commit to UWMF their “Professional Income” as defined in the UWMF Bylaws. Nothing in this policy shall be construed to alter or effect such requirement and commitment.
3. Requirements for Outside Engagements. Prior to pursuing an Outside Engagement, UW Health Providers must complete a Disclosure Form describing the activity.
  - a. UW Health Providers are ultimately responsible for ensuring all Outside Engagements:
    - i. Describe in written detail the services being provided by UW Health Providers, making clear that the services are being provided in an individual capacity and not by or on behalf of UW Health;
    - ii. Provide for no more than fair-market Compensation, as determined by the Provider’s Manager and the Business Integrity Office. The Business Integrity Office may, in its discretion, require additional review of Compensation by the UW Health IIRC;
    - iii. Involve services that are necessary, legitimate and rendered, and which are not promotional or marketing-oriented in nature;
    - iv. Are not motivated by (or have the appearance of) any improper purpose, such as incentivizing the UW Health Provider to change, alter, or maintain prescribing or practice habits and do not pose an improper conflict of interest;
    - v. Are not provided at a time when the UW Health Provider is expected to be engaged in UW Health or UW activities or otherwise interfere with their commitments to UW Health or UW, such as the provision of health care services, research, outreach, or teaching, and do not use UW Health or UW resources, or UW Health or UW branding;
    - vi. Comply with UW Health’s Compliance Policies;
    - vii. Present information based on the best scientific evidence available (as applicable);
    - viii. Protect UW Health’s restricted, sensitive, confidential, or valuable competitive information. This includes materials or collateral developed in the course of the Provider’s UW Health work;
    - ix. Make independent arrangements, at the UW Health Provider’s sole cost and expense, to obtain adequate liability insurance as applicable to the activity, as Outside Engagements are not covered by UW Health or State of Wisconsin insurance policies;
    - x. Do not solicit or advertise the UW Health Provider’s provision of services outside of UW Health while acting in their capacity as a UW Health Provider;
    - xi. Are approved for consistency with this policy in advance by the UW Health Provider’s Manager;

- xii. Are submitted for review and approval along with a proposed Management Plan (as applicable) prior to engaging in or accepting Compensation for the engagement (see Section V.A.5, below);
  - xiii. Are disclosed to students, residents, fellows, and patients and clearly disclose any reasonably available alternative products, vendors, or modalities that would not pose a potential conflict of interest.
- 4. Additional Requirements for Industry-sponsored Speaking Engagements.  
 With respect to Outside Engagements that are speaking engagements sponsored by Industry, UW Health Providers must disclose to attendees orally and/or in writing, their relevant financial relationships with Industry and that their opinions are their own and not intended to represent UW or UW Health. UW Health Providers may participate as bona fide speakers at conferences with Industry sponsors if, in addition to the requirements of Section V.A.3., the following additional criteria are met:
  - a. The activities and materials comply with any applicable Accreditation Council for Continuing Medical Education (ACCME) Standards for Commercial Support, whether or not credit for continuing education is requested or awarded;
  - b. The UW Health Provider must retain control of the content presented (the UW Health Provider must directly determine and retain ultimate responsibility for the substance and content of the presentation) and always cite the source of the slide or content if not developed by the UW Health Provider;
  - c. As required by the Food and Drug Administration (FDA) and best practices in CME, provider must disclose unapproved uses of FDA -approved pharmacological, biological, and medical products and devices and investigational uses of pharmacological, biological, and medical products or devices not yet approved by the FDA; and
  - d. The conference or event is not a speakers' bureau.
- 5. Disclosure, Review, and Approval of Outside Engagements. Before any Outside Engagement may begin, UW Health Providers must submit a completed Disclosure Form and, if applicable, evidence of confirmation of the submission of the Outside Activities Report to UW. If a Management Plan has been issued, a copy of such Management Plan must be attached. An Outside Engagement that meets the requirements of Section V.A.3., and, if applicable, Section V.A.4., will be reviewed within ten (10) business days after confirmation of receipt by the Business Integrity Office of the Disclosure Form and Management Plan, if applicable. Any Outside Engagement approved hereunder will be approved for a one-year period or completion of the Outside Engagement, whichever is less, at which time the UW Health Provider must complete and submit a new Disclosure Form and Management Plan, if applicable. Any approval may include conditions deemed appropriate by the Business Integrity Office and/or the UW Health IIRC, which may be in addition to any terms and conditions included in any Management Plan. The Business Integrity Office reserves the right to request additional information or consult with the Office of Corporate Counsel, UW Health IIRC, UWSMPH and/or UW on all submissions. Authorization may be withdrawn at any time if adverse effects are noted, including but not limited to, interference with the Provider's other commitments, competitive concerns, failure to comply with applicable conditions of the approval, changes to the terms of the Outside Engagement, or any other factor that renders a potential conflict unable to be adequately managed. The Business Integrity Office may share information about submissions for approval of Outside Engagements with the UWSMPH Dean's Office and other appropriate offices.

6. Prohibited Activities. UW Health Providers are prohibited from speaking as a paid or unpaid promotional speaker at Industry-Sponsored events where the purpose is to publicize, endorse, provide testimony, or market a company's products (i.e., speaker's bureaus). If a UW Health Provider is uncertain whether a proposed speaking engagement is promotional or marketing in nature, the Business Integrity Office should be consulted.

#### B. Gifts, Invitations, and Free Meals

1. Applicability. UW Health Providers may not accept gifts of any kind from Industry, including food and branded items, even if such items are of nominal value. Non-promotional patient education materials or textbooks may be received under the oversight of the Business Integrity Office or the Vendor Liaison Office. Such educational gifts should first be approved by the Business Integrity Office, which will review the material for inappropriate promotional messaging. Gifts must be made at the Section, Divisional, or Departmental level and shall not be made to or on behalf of individual providers.
2. Requirements. UW Health Providers may not accept any item from an Industry representative that is for the personal benefit of the UW Health provider or a member of the UW Health Provider's immediate family, such as floral arrangements, artwork, golf balls, mugs, pens, sporting bags, or free/discounted tickets to sporting, musical, or other types of goods and services, including entertainment events. With the exception of food provided in accordance with continuing education accredited programs, meals provided to a paid speaker or consultant in conjunction with an approved Outside Engagement, or meals provided in accordance with Section V.C. of this policy, UW Health Providers may not accept any food or meals from Industry representatives. For example:
  - a. Industry may not provide/deliver to educational/instructional settings, meals for students, residents, fellows, or other health care providers;
  - b. Industry may not provide/deliver any meals in patient care areas (e.g., clinics, hospitals); and
  - c. UW Health Providers may not accept food, drink, or any form of payment for attending any reception or other event hosted by Industry.
3. Disclosure, Review, and Approval. If gifts are received from Industry and staff is unable to refuse or return the items, a disclosure should be made to the Business Integrity Office and the items will be donated or disposed of according to UW Health procedures.
4. Exclusions. While UW Health Providers are generally prohibited from accepting Industry donations/loans of equipment, educational models, devices or supplies, the Business Integrity Office, in consultation with the Office of Corporate Counsel, may authorize exceptions on a case-by-case basis. In addition, UW Health Providers are permitted to accept invitations to and attend UW Health affiliated philanthropic or charity events without making reimbursement for applicable ticket costs.

#### C. Participation in Industry-Sponsored Conferences (Attendance or Speaking/Lecturing)

1. Applicability. UW Health Providers may attend Industry-sponsored educational meetings, lectures, and conferences containing objective scientific and educational information that promotes evidence-based medicine and scientific research and where support of industry is prominently disclosed. UW Health Providers may engage in speaking engagements and lectures sponsored by industry so long as they comply with all the requirements set forth in Sections V.A.3. and V.A.4., above. Note: UW Health Providers are attending conferences as attendees, and not as faculty/lecturers if they are attending solely to present peer-reviewed posters or papers.



2. Attendance. If UW Health Providers are attending legitimate Industry-sponsored educational meetings that comply with the following conditions, and if, the UW Health Provider is speaking at such event as an Outside Engagement and complying with Sections V.A.3. and V.A.4., above, or UW, UW Health, or the UW Health Provider is paying for all costs of attendance, no disclosure to the Business Integrity Office is required. The following standards must be followed when UW Health Providers attend Industry-sponsored educational meetings:

- a. UW Health Providers should ensure that the meeting will further their knowledge on the subject(s) presented and are inclusive of and led by those who are qualified to present a program that is aimed at promoting evidenced-based medicine and scientific research. Meetings that consist primarily of marketing presentations rather than scientific presentations typically would not qualify as legitimate educational meetings. If the event is not accredited for CME credits, or the equivalent for non-physician providers, the approval of the UW Health Provider's Manager should be obtained for attending the conference.
- b. UW Health Providers may not receive honoraria, gifts, or discounted goods or services from Industry in exchange for attendance; this includes reimbursement of travel costs, lodging, or conference registration fees meant to defray the cost of attendance for the UW Health Provider or their guests. Notwithstanding the foregoing, (i) UW Health Providers participating in conferences as speakers pursuant to an approved Outside Engagement may have their reasonable travel, lodging, and meal costs, as well as conference registration fees, covered by Industry as part of the approved Outside Engagement; and (ii) the above prohibitions do not apply to Industry payments for travel and lodging in connection with sponsored research projects. Such payments are covered under UW policies for sponsored research.
- c. Educational programs sponsored by Industry must be structured so as not to improperly influence purchasing or prescribing decisions.

#### D. Training and Education on the Use of Medical Devices and Pharmaceuticals.

1. Applicability. To ensure that UW Health Providers receive appropriate training, free from inappropriate influences over their clinical decision-making, prescribing, and purchasing decisions, the following policies will apply to UW Health Providers' attendance at Industry-sponsored training sessions.
2. Requirements. UW Health Providers may attend educational training programs sponsored by Industry, so long as they are conducted in settings conducive to the effective transmission of knowledge and such training is not accompanied by payment or reimbursement. The following standards must be followed when UW Health Providers attend Industry sponsored training sessions:
  - a. Conducive settings are limited to facilities specifically designed to approximate the conditions of a surgical suite, or a working clinical laboratory or those designed to provide medical training on large and/or technical medical devices, such as surgical equipment, implants, imaging, and clinical laboratory equipment. Resorts and other similar venues are not appropriate settings; and
  - b. Except when provided under a UW Health or UW corporate purchasing contract, UW Health Providers may not receive reimbursement or discounted goods/services in exchange for attendance; this includes reimbursement of travel costs, lodging, or conference registration fees meant to defray the cost of attendance for the UW Health Provider or their guests. If Industry funds are not used to directly support a specific UW Health Provider's attendance, the Industry funding is used to support

overall educational costs or is administered by the professional society or similar organization, and Industry has no control over the educational content or speakers, UW Health Providers may attend the conference on the same terms as other attendees, provided that the educational event is a genuine learning opportunity, as described above.

3. Disclosure, Review, and Approval. If UW Health Providers are attending Industry -sponsored training that complies with V.D.2. above, and UW Health or the UW Health Providers are paying for all costs of attendance, no disclosure to the Business Integrity Office is required.
4. Exclusions. UW Health Providers may attend training and educational opportunities at Industry expense where legitimate training opportunities were negotiated and documented in writing as part of a UW Health or UW contract. These training opportunities would normally include training with equipment or technology that is not available at UW Health or UW. Such training also does not require disclosure to the Business Integrity Office.

#### E. Educational Grants, Scholarships and Donations.

1. Applicability. UW Health and UW Health Providers may receive grants to support its mission. These include, but are not limited to, sponsorship of conferences and/or training activities that are intended to further education or professional development for UW Health Providers.
2. Requirements. The following standards must be followed when UW Health and UW Health Providers apply for, receive, and accept grants, scholarships, and donations from Industry:
  - a. In general, UW Health and UW Health Providers should not accept funding for grants, scholarships, and donations that originates from the sales or marketing departments of Industry or that is offered in connection with the sale or purchase of goods and services;
  - b. Grants, scholarships, sponsorships, and donations will not be taken into account in awarding contracts or making purchasing and prescribing decisions; and
  - c. All educational grants and scholarships must be documented in written agreements that are signed by authorized representatives of Industry and UW Health, and UWSMPH Dean's Office when applicable (individual UW Health Providers are not authorized to apply for or accept grants on behalf of UW Health).
3. Disclosure, Review, and Approval.
  - a. The UW Health Provider's Manager must support applying for and accepting the grant or scholarship;
  - b. The UW Health finance department must be notified prior to accepting the grant or scholarship, so that funds may be tracked and reported appropriately;
  - c. The grant or scholarship must be documented in writing and signed by an authorized representative of UW Health and, where applicable, reviewed by the Office of Corporate Counsel; and
  - d. Unrestricted educational grants to support accredited continuing education must comply with the *ACCME Standards for Integrity and Independence in Accredited Continuing Education* and other applicable requirements.
4. Exclusions. University sponsored research and other grants are separately addressed under UW policies.



#### F. Pharmaceutical Samples, Discounts, and Other Price Reductions

1. Applicability. UW Health Providers may not accept pharmaceutical samples, discounted products, or similar personal benefits from Industry.
2. Requirements. UW Health may occasionally receive samples or discounted supplies or devices for legitimate evaluation, training, and testing purposes. These arrangements must not personally benefit individual UW Health Providers or their families, or influence purchasing decisions. Under no circumstances may a UW Health Provider charge a patient for a pharmaceutical sample. Receipt and use of samples must be in accordance with UW Health Clinical Policy 6.1.6 - Control of Samples: Medications, Personal Medical Devices, Drug Vouchers and Starter Supplies, and/or UW Health Administrative Policy 11.35 - Evaluation of Clinical Capital Equipment.

#### G. Ghostwriting

The Association of American Medical Colleges defines ghostwriting as “the provision of written material that is officially credited to someone other than the writer(s) of the material.” Transparent writing collaboration with attribution between academic and industry investigators, medical writers, and/or technical experts is not ghostwriting. It is not permissible for UW Health Providers to allow their professional presentations or other materials to be ghostwritten by any party.

#### H. Recusal from Purchasing Decisions

UW Health Providers must avoid both actual and apparent conflicts of interest and comply with UW Health’s Compliance Policies.

UW Health Providers must disclose to the appropriate parties (e.g., Their Manager, and the Pharmacy and Therapeutics Committees, or Value Assessment/Tech Assessment Committees, as applicable), any past or current financial interests, management roles, Outside Engagements, Compensation, or other similar relationships with Industry or financial interest relevant to the product/service under consideration. authorize the Business Integrity Office to share relevant Disclosure Form submissions and Management Plans, where appropriate.

UW Health Providers must recuse themselves from any purchasing deliberations or decisions relevant to the conflicting interests that pertain to the Industry’s products or services when the provider or a member of their immediate family has an ongoing Outside Engagement, receives Compensation from, or otherwise has a financial interest in a vendor.

#### I. Treatment Considerations

UW Health Providers must avoid both actual and apparent conflicts of interest and comply with all applicable UW Health and UW policies in connection with their practice habits and the treatment of patients including without limitation prescribing habits, decisions regarding the use of particular medical devices or diagnostic tests, or the performance of particular procedures. UW Health Providers must not permit Outside Engagement, Compensation, or other similar relationship to change or alter their practice habits, or the treatment of patients, including without limitation prescribing habits, decisions regarding the use of particular medical devices or diagnostic tests, or the performance of particular procedures.

UW Health Providers must ensure that any Outside Engagement, Compensation, or other financial interest which is or which could reasonably be expected to the give or create the appearance of a conflict of interest are disclosed to students, residents, fellows, and patients in accordance with all UW Health and UW policies and should clearly disclose any reasonably available alternative products, treatments, vendors, or modalities that would not pose a potential conflict of interest.

#### J. Endorsement or Testimonial of Industry, Products or Services

1. Endorsements and Testimonials Prohibited. UW Health Providers may not provide Endorsements or testimonials for or about any of the following:
  - a. Specific products or services by brand name or trademarked drugs, medicinal foods, vitamins, supplements, or botanical medicines.
  - b. Specific providers of products or services by name (e.g., laboratories or producers or distribution of pharmaceuticals, medical products, therapeutics, healthcare equipment, software systems).
  - c. Participation in activities or events if the purpose is to publicize, endorse, provide testimony, act as a reference, or market a company's products or services. This includes being listed on the reference list.
2. Permissible Activities. UW Health Providers may participate in the following:
  - a. Statements of support for activities on which they have agreed to collaborate, such as sponsoring or co-sponsoring educational activities or projects, healthcare planning activities, research activities, publications, and other such activities that come within the scope of UW Health's and UWSMPH's nonprofit mission and goals.
  - b. Statements of support may also be provided for non-collaborative projects that are of significant public benefit. Such statements of support will be supplied only where the UW Health Business Integrity Office has both adequately researched the collaborative activity and retains the right to withdraw support in the case that the activity violates agreed-upon boundaries or fails to reach acceptable standards of effectiveness and/or integrity.
  - c. Verbal conversation regarding UW Health Provider's experiences with products or services. These conversations will be one on one with the other organization and will only relay the experiences of the UW Health Provider and would not be considered recommendations, testimonial or endorsements.

K. Escalation: If a UW Health Provider disagrees with determinations made by the UW Health Business Integrity Office or the IIRC under this policy, they may bring concerns forward to the UW Health IIRC. The UW Health IIRC, in conjunction with UW Health Leadership, will review the concern and provide a written determination.

L. Noncompliance: If a UW Health Provider receives a determination that they should not engage in an activity and subsequently moves forward with the activity disregarding the decision or fails to seek and receive the appropriate pre-approvals, they may be subject to appropriate action pursuant to UW or UW Health policies applicable to the UW Health Provider. Such action may include but is not limited to forfeiture of funds, discipline, or dismissal.

## VI. FORMS

Provider Interactions with Industry and Clinical Conflicts of Interest form, available via the Business Integrity page on U-Connect

**VII. REFERENCES**

- A. UW Health Administrative Policy 1.64 - Annual Employee Appreciation and Other Gifts
- B. UW Health Administrative Policy 1.66 - Conflicts of Interest for Employees and Affiliate Directors
- C. UW Health Administrative Policy 11.35 - Evaluation of Clinical Capital Equipment
- D. UW Health Clinical Policy 6.1.6 - Control of Samples: Medications, Personal Medical Devices, Drug Vouchers and Starter Supplies
- E. UW Health Code of Conduct
- F. ACCME Standards for Integrity and Independence in Accredited Continuing Education - <https://accme.org/publications/standards-for-integrity-and-independence-accredited-continuing-education-pdf>

**VIII. COORDINATION**

**Sr. Management Sponsor:** System VP, Business Integrity  
**Primary Owner:** Director, Compliance Hospital Services  
**Stakeholders:** Senior Leadership Steering Team; Council of Chairs;  
UWSMPH Dean's Leadership Team  
**Approval Committee:** UW Health Administrative Policy Committee

**IX. APPROVAL**

Elizabeth Bolt  
UW Health Chief Administrative Officer

This administrative policy applies to the operations, Directors, and employees of the University of Wisconsin Hospitals and Clinics Authority ("UWHCA"), University of Wisconsin Medical Foundation ("UWMF"), and those subsidiaries and affiliates of UWHCA and UWMF that have adopted this administrative policy (each an "Adopting Affiliate"). UWHCA, UWMF and the Adopting Affiliates are referred to in this administrative policy as "UW Health."