

Policy II – Conflicts of Interest in Business Affairs in General

Target Group: Cleveland Clinic United States Locations		Original Date of Issue: 2007	Version 4
Approved by: Board of Directors	Date Last Approved/Reviewed: 5/25/2021	Prepared by: Cory Anand, J.D., Director, Conflict of Interest	Effective Date 5/25/2021
<p>Avon Hospital: Board approval date: 5/25/2021 Effective Date: 10/15/2018</p> <p>Euclid Hospital: Board approval date: 5/25/2021 Effective Date: 5/25/2021</p> <p>Fairview Hospital: Board approval date: 5/25/2021 Effective Date: 5/25/2021</p> <p>Hillcrest Hospital: Board approval date: 5/25/2021 Effective Date: 5/25/2021</p> <p>Lutheran Hospital: Board approval date: 5/25/2021 Effective Date: 5/25/2021</p>		<p>Marymount Hospital: Board approval date: 5/25/2021 Effective Date: 5/25/2021</p> <p>South Pointe Hospital: Board approval date: 5/25/2021 Effective Date: 5/25/2021</p> <p>CCCHR: MEC approval date: 5/25/2021 Board approval date: 5/25/2021 Effective Date: 5/25/2021</p> <p>Weston, Florida: MEC approval date: 5/25/2021 Board approval date: 5/25/2021 Effective Date: 5/25/2021</p> <p>Coral Springs, FL ASC/FHC: MEC/CSOC approval date:5/25/2021 Board approval date:5/25/2021 Effective Date: 5/25/2021</p>	

Purpose

To assure professional and commercial integrity in all matters, our Organization maintains a program that identifies and addresses conflicts of interest in business affairs and in general.

Policy Statement

Members of the Target Group workforce have broad access to confidential information regarding our Organization's clinical, business, research, education and other activities, including proprietary information, intellectual property, and strategic plans. No Target Group Professional [Staff](#) member ("Staff"), Resident, Fellow, Employee or Cleveland Clinic – main campus Official shall use a position with our Organization (including its wholly-owned affiliates), or confidential information acquired as a result of his or her position with our Organization, to permit a Conflict of Interest to arise between the Organization's interests and his or her personal interests.

Definitions

Target Group - herein defined as Cleveland Clinic United

States locations- Includes the main campus, Avon, Euclid, Fairview, Hillcrest, Lutheran, Marymount, Medina, South Pointe, Children's Hospital for Rehabilitation, Weston Hospital, Coral Springs Ambulatory Surgery Center, Martin North Hospital, Martin South Hospital, Tradition Hospital, and all Family Health Centers, Physician practice sites, Nevada practice sites, Emergency Departments, Express Care Centers, Urgent Care Centers and Ambulatory Surgical Centers reporting to these facilities.

Policy Implementation

A [Conflict Of Interest](#) may exist when a Target Group Staff member, Resident, Fellow, Employee or a member of his or her [Immediate Family](#) or an entity directed or controlled by any of them, has an interest in (including relationships with) a [Non-Cleveland Clinic \(CC\) Entity](#)—whether investment, compensation*, or otherwise—that could be reasonably perceived as influencing his or her activities in patient care, research, administrative decisions, education or business transactions for our Organization. To help advance our Organization's mission, Target Group Staff members must respect the confidentiality of our Organization's information, act in the best interests of the Organization, and disclose to the IM&COI Program all of their existing and potential personal

interests that may result in a Conflict Of Interest. In addition, certain Target Group Employees must also comply with these requirements. These Target Group Employees include managers, residents, fellows, advanced practice providers, pharmacy, law, innovations, ventures, compliance, strategy, supply chain management, construction management, researchers and others as identified from time to time by Human Resources and the Innovation Management and Conflict of Interest Program of the Office of Professional Staff Affairs.

- **Members of the Target Group Professional Staff and identified Employee groups** must disclose all potential and existing relevant personal interests (including [Significant Financial Interests in research](#)***) that may result in a [Conflict of Interest](#). The disclosure must be made through the online Conflict of Interest Disclosure system at least annually and within 30 days in response to a material change in Financial Interests.
- **Cleveland Clinic – main campus Officials**, whether Members of the Professional [Staff](#) or not, must disclose Financial Interests to the IM&COI Program as described above and also must disclose any [Institutional Financial Interests](#) in research.*** (In addition to these requirements, Cleveland Clinic – main campus [Officials](#) who are elected Officers must separately comply with the conflict of interest requirements of the Board of Directors.)

Interests reported in prior years must be redisclosed annually if still applicable. The IM&COI Program will review all disclosed interests – whether they involve clinical care, education, research, or other activities - and notify the affected discloser if the circumstances warrant further review, recusal, oversight, a Conflict Management Plan, Public Health Service-Reportable Conflict Management Plan, or other action.

No Royalty Payments or other Commercialization Revenues for use at CCE of Products Commercialized by our Organization or developed by our Organization's Employees

See [Policy III Conflicts of Interest in Research](#) for restrictions on the receipt of royalty revenues from products used, sold or purchased by our Organization. There is no restriction on the receipt of royalty payments by our Organization or its Healthcare Providers for the purchase and use of products at locations other than our Organization.

Donating to Charities Part or All of Honoraria or Consulting Compensation, Royalties and Other Revenues from Commercialization Received from Non-CC Entities

See [Policy III Conflicts of Interest in Research](#) and [Policy VI Conflicts of Interest in the Practice of Medicine](#) for information on donating compensation to charity.

Our Organization maintains the highest degree of integrity and fiscal responsibility and compliance with the obligations of tax-exempt Organizations, physician self-referral laws, and applicable fraud and abuse laws. This policy is enacted, in part, to comply with these laws. Questions about the information to be disclosed may be addressed to the Director of the IM&COI Program. Personal or institutional interests that may involve potential legal or compliance issues are to be referred to the Cleveland Clinic Law Department.

* Consistent with our Organization’s Corporate Compliance Program, Target Group Staff members, Residents, Fellows and Employees must not directly or indirectly accept any compensation or benefit—in cash or in kind, regardless of amount or value—which in any way might tend to influence his/her judgments or actions for our Organization in a way that is detrimental to the best interests of our Organization. The receipt of any such compensation or benefit is not considered permissible merely because it appears to be a customary or common business practice in certain industries. Relationships with and/or benefits from medical vendors are discussed in other policies and/or guidance.

** Pursuant to [Policy III Conflicts of Interest in Research](#).

*** Pursuant to [Policy IV](#) involving institutional conflicts of interest in research.

Oversight and Responsibility

The Innovation Management and Conflict of Interest Program is responsible to review, revise, update, and operationalize this policy to maintain compliance with regulatory or other requirements.

It is the responsibility of each hospital, institute, department and discipline to implement the policy and to draft and operationalize related procedures to the policy if applicable.