

DECLARATION OF INTERESTS FOR WHO EXPERTS

WHO's work on global health issues requires the assistance of external experts who **may have interests related to their expertise**. To ensure the highest integrity and public confidence in its activities, WHO requires that experts serving in an advisory role disclose any circumstances that could give rise to a potential conflict of interest related to the subject of the activity in which they will be involved.

All experts serving in an advisory role must disclose any circumstances that could represent a **potential conflict of interest** (i.e., any interest that may affect, or may reasonably be perceived to affect, the expert's objectivity and independence). You must disclose on this Declaration of Interests (DOI) form any financial, professional or other interest relevant to the subject of the work or meeting in which you have been asked to participate in or contribute towards and any interest that could be affected by the outcome of the meeting or work. You must also declare relevant interests of your immediate family members (see definition below) and, if you are aware of it, relevant interests of other parties with whom you have substantial common interests and which may be perceived as unduly influencing your judgement (e.g. employer, close professional associates, administrative unit or department). Please note that not fully completing and disclosing all relevant information on this form may, depending on the circumstances, lead WHO to decide not to appoint you to WHO advisory bodies/functions in the future.

Please complete this form and submit it to WHO Secretariat if possible at least 4 weeks but no later than 2 weeks before the meeting or work. You must also promptly inform the Secretariat if there is any change in this information prior to, or during the course of, the meeting or work. All experts must complete this form before participation in a WHO activity can be confirmed. Please note that not fully completing and disclosing all relevant information on this form may, depending on the circumstances, lead WHO to decide not to appoint you to WHO advisory bodies/functions in the future.

Answering "Yes" to a question on this form does not automatically disqualify you or limit your participation in a WHO activity. Your answers will be reviewed by the Secretariat to determine whether you have a conflict of interest relevant to the subject at hand. One of the outcomes listed in the next paragraph can occur depending on the circumstances (e.g. nature and magnitude of the interest, timeframe and duration of the interest).

The Secretariat may conclude that no potential conflict exists or that the interest is irrelevant or insignificant. If, however, a declared interest is determined to be potentially or clearly significant, one or more of the following three measures for managing the conflict of interest may be applied. The Secretariat (i) allows full participation, with public disclosure of your interest; (ii) mandates partial exclusion (i.e., you will be excluded from that portion of the meeting or work related to the declared interest and from the corresponding decision making process); or (iii) mandates total exclusion (i.e., you will not be able to participate in any part of the meeting or work).

All potentially significant interests will be **disclosed** to the other participants at the start of the activity and you will be asked if there have been any changes. A summary of all declarations and actions taken to manage any declared interests will be **published** in resulting reports and work products. Furthermore, if the objectivity of the work or meeting in which you are involved is subsequently questioned, the contents of your DOI form may be made available by the Secretariat to persons outside WHO if the Director-General considers such disclosure to be in the best interest of the Organization, after consulting with you. Completing this DOI form means that you agree to these conditions.

If you are unable or unwilling to disclose the details of an interest that may pose a real or perceived conflict, you must disclose that a conflict of interest may exist and the Secretariat may decide that you be totally recused from the meeting or work concerned, after consulting with you.

Name:
Institution:
Email:

Date and title of meeting or work, including description of subject matter to be considered (if a number of substances or processes are to be evaluated, a list should be attached by the organizer of the activity):

Please answer each of the questions below. If the answer to any of the questions is "yes", briefly describe the circumstances on the last page of the form.

The term "you" refers to yourself and your immediate family members (i.e., spouse (or partner with whom you have a similar close personal relationship) and your children). "Commercial entity" includes any commercial business, an industry association, research institution or other enterprise whose funding is significantly derived from commercial sources with an interest related to the subject of the meeting or work. "Organization" includes a governmental, international or non-profit organization. "Meeting" includes a series or cycle of meetings.

EMPLOYMENT AND CONSULTING

Within the past 4 years, have you received remuneration from a commercial entity or other organization with an interest related to the subject of the meeting or work?

- 1a Employment Yes ☐ No ☐
- 1b Consulting, including service as a technical or other advisor Yes ☐ No ☐

RESEARCH SUPPORT

Within the past 4 years, have you or has your research unit received support from a commercial entity or other organization with an interest related to the subject of the meeting or work?

- 2a Research support, including grants, collaborations, sponsorships, and other funding Yes ☐ No ☐
- 2b Non-monetary support valued at more than US \$1000 overall (include equipment, facilities, research assistants, paid travel to meetings, etc.) Yes ☐ No ☐

Support (including honoraria) for being on a speakers bureau, giving speeches or training for a commercial entity or other organization with an interest related to the subject of the meeting or work?

INVESTMENT INTERESTS

Do you have current investments (valued at more than US \$5 000 overall) in a commercial entity with an interest related to the subject of the meeting or work? Please also include indirect investments such as a trust or holding company. You may exclude mutual funds, pension funds or similar investments that are broadly diversified and on which you exercise no control.

- 3a Stocks, bonds, stock options, other securities (e.g., short sales) Yes ☐ No ☐
- 3b Commercial business interests (e.g., proprietorships, partnerships, joint ventures, board memberships, controlling interest in a company) Yes ☐ No ☐

INTELLECTUAL PROPERTY

Do you have any intellectual property rights that might be enhanced or diminished by the outcome of the meeting or work?

- 4a Patents, trademarks, or copyrights (including pending applications) Yes ☐ No ☐
- 4b Proprietary know-how in a substance, technology or process Yes ☐ No ☐

PUBLIC STATEMENTS AND POSITIONS (during the past 3 years)

- 5a As part of a regulatory, legislative or judicial process, have you provided an expert opinion or testimony, related to the subject of the meeting or work, for a commercial entity or other organization? Yes ☐ No ☐
- 5b Have you held an office or other position, paid or unpaid, where you represented interests or defended a position related to the subject of the meeting or work? Yes ☐ No ☐

ADDITIONAL INFORMATION

- 6a If not already disclosed above, have you worked for the competitor of a product that is the subject of the meeting or work, or will your participation in the meeting or work enable you to obtain access to a competitor's confidential proprietary information, or create for you a personal, professional, financial or business competitive advantage? Yes ☐ No ☐
- 6b To your knowledge, would the outcome of the meeting or work benefit or adversely affect interests of others with whom you have substantial common personal, professional, financial or business interests (such as your adult children or siblings, close professional colleagues, administrative unit or department)? Yes ☐ No ☐
- 6c Excluding WHO, has any person or entity paid or contributed towards your travel costs in connection with this WHO meeting or work? Yes ☐ No ☐

6d Have you received any payments (other than for travel costs) or honoraria for speaking publicly on the subject of this WHO meeting or work? Yes ☐ No ☐

6e Is there any other aspect of your background or present circumstances not addressed above that might be perceived as affecting your objectivity or independence? Yes ☐ No ☐

7. **TOBACCO OR TOBACCO PRODUCTS** (*answer without regard to relevance to the subject of the meeting or work*)

Within the past 4 years, have you had employment or received research support or other funding from, or had any other professional relationship with, an entity directly involved in the production, manufacture, distribution or sale of tobacco or tobacco products or representing the interests of any such entity?

Yes ☐ No ☐

EXPLANATION OF "YES" RESPONSES: If the answer to any of the above questions is "yes", check above and briefly describe the circumstances on this page. If you do not describe the nature of an interest or if you do not provide the amount or value involved where relevant, the conflict will be assumed to be significant.

Nos. 1 - 4: Type of interest, question number and category (e.g., Intellectual Property 4.a copyrights) and basic descriptive details.	Name of company, organization, or institution	Belongs to you, a family member, employer, research unit or other?	Amount of income or value of interest (if not disclosed, is assumed to be significant)	Current interest (or year ceased)

Nos. 5-6: Describe the subject, specific circumstances, parties involved, time frame and other relevant details

CONSENT TO DISCLOSURE. By completing and signing this form, you consent to the disclosure of any relevant conflicts to other meeting participants and in the resulting report or work product.

DECLARATION. I hereby declare on my honour that the disclosed information is true and complete to the best of my knowledge.

Should there be any change to the above information, I will promptly notify the responsible staff of WHO and complete a new declaration of interests form that describes the changes. This includes any change that occurs before or during the meeting or work itself and through the period up to the publication of the final results or completion of the activity concerned.

Date: _____

Signature _____

Annex A

Guidance to Experts in Connection with the Completion of WHO DOI Forms

To be sent with the DOI form

The following table provides guidance to experts as to the type and extent of information that experts should disclose as they complete WHO Declaration of Interests Form.

Type of Interest in Relation to subject of meeting or work	Examples of Information Required
Expert's employment or that of an immediate family member	Indicate: a. name of employer b. title and function c. period of employment
Consulting work	Indicate: a. name of contracting party b. period of consultancy c. nature / subject of consultancy d. amount of income earned per consultancy
Research support	Indicate: a. source of the support b. amount of support c. whether support provided to expert personally, immediate family member or institution to which the expert is affiliated d. subject matter of research supported e. expert's role in the conduct of the research supported (e.g. <i>head of research team, director of programme, scientist part of a larger team</i>)
Investments	Indicate whether investment in any single company is valued at: a. the nature of the investment (e.g. stock, bonds, partial or total ownership interest etc) b. more than \$5,000 c. provide the name of the company

.../..

Annex A

Intellectual Property	<p>Describe:</p> <ul style="list-style-type: none">a. nature and object of the IPb. whether IP is still protectedc. relevant licensing arrangements relating to the IPd. whether royalties are being paid
Public Statements and Positions	<p>Describe:</p> <ul style="list-style-type: none">a. fora in which public position taken (<i>e.g. court, parliamentary committee etc.</i>)b. year concernedc. in brief, the position heldd. the capacity in which the statement was made or position taken (<i>e.g. Mr. Smith in his capacity as president of ABC society</i>)e. indicate for how long approximately the position taken has been held or defended, if applicablee. whether there is a public record of the position held
Unfair or Competitive Advantage	<ul style="list-style-type: none">a. state whether information obtained as a result of participation in the advisory body or activity could provide you with an unfair competitive advantage and/or a clear actual and direct financial or pecuniary benefit.b. Explain how you would propose to mitigate this concern.

Annex B

Code of Conduct for WHO Experts

Should be sent with the DOI form

WHO values and relies upon the normative and technical advice that is provided by leading subject matter experts in the context of its advisory/technical committees, meetings and other similar processes. Such advice contributes to the formulation of public health policies and norms that are promulgated by WHO for the benefit of its Member States.

In order to ensure the integrity of such processes, thereby contributing to their credibility in the eyes of WHO's stakeholders, it is critical that experts appointed by WHO to render technical or normative advice

- a. fully and honestly disclose all relevant interests and biases on the DOI Form that may give rise to real or perceived conflicts of interest. Such disclosure must also be made orally to all fellow expert committee, meeting or group members at the outset i.e. unless this is done by the Chairperson or Secretariat.
- b. spontaneously report any material changes to their disclosed interest on an on-going basis during the period in which the expert serves the Organization;
- c. respect the confidential nature of committee or meeting deliberations or of the advisory function assigned by WHO and not make any public statements regarding the work of the committee or meeting or regarding the expert's advice without prior consent from WHO;
- d. undertake not to engage in activities that may bring reputational harm to the WHO process that they are involved in;
- e. undertake to represent their views in a personal and individual capacity with the best interest of WHO in mind as opposed to representing the views of their employers, other institutions or governments.
- f. actively and fully participate in discussions and deliberations within the relevant advisory group, committee or meeting.

CONFIDENTIALITY UNDERTAKING

Should be sent with the invitation or appointment letter

1. The World Health Organization (WHO), acting through its Department of _____, has access to certain information relating to _____, which information WHO considers to be proprietary to itself or to parties collaborating with it (hereinafter referred to as "the Information").
2. The Undersigned, as a member of the _____ advisory meeting, group or committee (collectively referred to as the "the Advisory Process"), may have access to the Information in the course of his/her participation in the Advisory Process (whether at or in relation to Advisory Process meetings, internet-based collaborative workspaces, telephone conferences or otherwise).
3. WHO is willing to provide the Undersigned the Information, or arrange for the provision of the Information to the Undersigned, for the purpose of performing his/her responsibilities in connection with the activities of the Advisory Process ("the Purpose"), provided that the Undersigned undertakes to treat the Information as confidential and proprietary, and to disclose it only to persons who have a need to know for the Purpose and are bound by like obligations of confidentiality and non-use as are contained in this Undertaking.
4. The Undersigned undertakes to regard the Information as confidential and proprietary to WHO or parties collaborating with WHO and agrees to take all reasonable measures to ensure that the Information is not used, disclosed or copied, in whole or in part, other than as provided in this Undertaking, except that the Undersigned shall not be bound by any such obligations if and to the extent he/she is clearly able to demonstrate that the Information:
 - a) was known to him/her prior to any disclosure by or for WHO to the Undersigned; or
 - b) was in the public domain at the time of disclosure by or for WHO to the Undersigned; or
 - c) becomes part of the public domain through no fault of the Undersigned; or
 - d) becomes available to the Undersigned from a third party not in breach of any legal obligations of confidentiality.
5. The Undersigned also undertakes not to communicate the deliberations and decisions of the Advisory Process to third parties except as agreed by WHO.
6. If requested to do so, the Undersigned agrees to return to WHO any and all copies of the Information.

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Annex C

7. The obligations of the Undersigned shall survive the termination of his/her membership in the Advisory Process.
8. Any dispute relating to the interpretation or application of this Undertaking shall, unless amicably settled, be subject to a conciliation. In the event of failure of the latter, the dispute shall be settled by arbitration. The arbitration shall be conducted in accordance with the modalities to be agreed upon by the parties or, in the absence of agreement, with the UNCITRAL rules of arbitration. The parties shall accept the arbitral award as final.

Name:

Signature:

Date: