

# IDDO Platform: Conflict of Interest Policy

## A. Aim and scope of the Conflict of Interest Policy

The aim of this Policy is to protect the reputation and integrity of the IDDO Platform (the Platform) and to ensure trust and confidence in its members and the governance arrangement related to it. The Policy defines what constitutes a real or perceived conflict of interest and outlines the approach for managing conflicts as they arise. Where there is doubt, those affected by this policy should err on the side of caution and declare the interest, recognizing that the appearance of a conflict can be as harmful as an actual conflict.

The scope of the Policy covers all members of the IDDO Data Access Committee, Scientific Advisory Committees, any other governance committees created, and the supporting Secretariat. It similarly covers all individuals contracted, either paid or voluntarily, to act in an advisory capacity to the Platform for example peer review services and capacity strengthening activities.

This Policy shall also be reflected in the research application process and therefore the Data Access Guidelines.

The Policy will not normally apply to those individuals providing services to the Platform for example providing IT support or translation services.

This Policy will be made publicly available and subject to revision by the governing bodies that developed the IDDO Platform governance framework: WHO-TDR and IDDO.

## B. Definition

A conflict of interest arises when an individual participates in the consideration of any particular matters in which, to the best of his or her knowledge, he or she or an Associated Person or Associated Institution has or may have a financial or other interest, or if the particular matter will or may have a direct or indirect effect on that interest.

In the context of this Policy, the term "conflict of interest" means any interest that may affect or reasonably be perceived to affect individual objectivity and independence in providing advice to the Platform, or in carrying out the duties of the Secretariat, the IDDO Data Access Committee, a Scientific Advisory Committee, or any other governance committee created by the Platform or in any other role. An interest can be financial, business, research, research funding, intellectual property interest, public statements, positions held, employment, consultancies, directorships or any other interest.

To "participate" means to participate either directly, or through the direct and active supervision of a subordinate in the consideration of a matter by the IDDO Data Access Committee, a Scientific Advisory Committee, the Secretariat, or any other governance body created for the Platform.

An “Associated Person” means a spouse (or partner with whom the individual has a similar close relationship) and children and/or a business partner, and/or person with whom the individual had reviewed or co-authored/co-applied for funding, manuscripts or other academic materials.

“Associated Institution” means (i) any organisation, university, corporation, institution or government in which the individual has served as an officer, director, trustee, partner, employee, adviser or consultant within the last 24 months; and (ii) any organization, university, corporation, institution or government with whom the individual is negotiating, or has an arrangement concerning, prospective employment or consultancy.

In general, and without limitation, conflicts may be deemed to exist in the following situations:

- Where an individual’s financial or other interests, or the financial or other interests of an Associated Person or Associated Institution, could affect or could be seen to affect his or her independence and objectivity in the conduct of his or her duties and responsibilities on one of the Platform committees, as an advisory consultant or as a member of the Secretariat.
- Where an individual’s financial or other interests, or the financial or other interests of an Associated Person or Associated Institution, including for example through the holding of an office or position, or through the representation of interests or opinions, could compromise or undermine the trust that the public places in the governance arrangements for the Platform. Where an individual’s interests or the interests of an Associated Person or Associated Institution create the perception that he or she is using his or her role for personal benefit or for the benefit of an Associated Person or Associated Institution.
- Where an individual is aware that the outcome of the activities associated with the Platform would benefit or adversely affect other parties with whom the individual or an Associated Person or Associated Institution has substantial common interests - whether personal, professional or financial - disclosure of those affected interests is also necessary. Examples of other parties include an individual’s siblings, parents, employers, close professional colleagues, administrative unit or department.

Examples of Conflicts of Interest may include:

- An individual reviewing proposals to access the data held within the Platform from an organization, corporation or government in which that individual is serving as an officer, director, trustee, partner, employee, adviser or consultant.
- An individual advising the Platform with respect to approval of any collaborative arrangement or service contract between the Platform and an Associated Institution or Associated Person.
- An individual having access to non-publicly available information that was not known to him/her prior to disclosure from the Platform gains, or an Associated Individual or Associated Institution gains, a financial, business, research, research funding, intellectual property, public statement, employment, consultancy, directorship or any other interest.

## C. Declaring a Conflict of Interest

- All representatives of the Secretariat shall complete the Declaration of Interest form and submit the completed and signed form to the Director of the Secretariat for approval prior to taking up their duties. The Declaration of Interests form shall be updated annually or whenever there is a change in their personal circumstances that may affect their Declaration

of Interests.

- All members of governance committees shall complete the Declaration of Interest form and submit the completed and signed form to the Secretariat at least two weeks in advance of their first meeting. This form will be updated annually or whenever there is a change in their circumstances that may affect their Declaration of Interests.
- All individuals to be contracted, either paid or voluntarily, to act in an advisory capacity to the Platform shall complete a Declaration of Interests form in advance of any contract being issued.
- All completed forms shall be assessed by the Chair of the relevant committee and the Secretariat. With respect to the Chair, their Declaration of Interests shall be assessed by the Secretariat and where a conflict is declared it will take advice and recommendations from appropriate representatives of the governing bodies that developed the IDDO Platform governance framework: WHO-TDR and IDDO.
- The Chair of any governance committee will seek verbal confirmation at the start of any meeting that the Declaration of Interests by members is current and up to date. It is the duty of each member to declare interests not only at the start of meetings but as and when they arise in accordance with this Conflict of Interest Policy.

## D. Managing Conflicts of Interest

In assessing declared interests, the Chair of any governance committee shall balance the nature, type and magnitude of the individual's interest and therefore the degree to which the interest may be reasonably expected to influence his or her judgment against the adequacy of measures/options available to protect the independence and integrity of the decision-making process with the Platform.

Conflicts of interest will be managed by adopting the possible courses of action listed below (including possible combinations thereof):

- Recommend that the concerned individual fully participate in the meeting or activity and any decision-making;
- Recommend that the concerned individual participate in the deliberations, but be recused from making any decisions, on the relevant matter under consideration; or
- Recommend that the concerned individual do not participate in both the deliberations and the decision-making on the relevant matter under consideration.
- Recommend that the individual is not allowed to serve on a governance committee or Secretariat.

In the event the conflict of interest involves the Chair of a governance committee (for example, without limitation, the Data Access Committee), another member of the governance committee who has no conflict shall be selected to represent the committee by the other members of the governance committee and to manage and resolve the conflict/potential conflict.

All decisions taken shall be recorded on the Declaration of Interest forms and recorded in the public minutes of the appropriate governance committee.

## E. With respect to individuals contracted to act in an advisory capacity to the Platform

If there is a real or perceived conflict of interest in a potential contractor, either paid or voluntary, then the Chair will review and decide in discussion with the Secretariat. Where necessary the Secretariat will take advice and recommendations from appropriate representatives of the governing bodies that developed the IDDO Platform governance framework: WHO-TDR and IDDO. The nature, type and magnitude of the individual's interest will be assessed, and therefore the degree to which the interest may be reasonably expected to influence their judgment in supplying their advice to the Platform.

The Platform will seek wherever possible to contract with individuals with no significant conflict of interest.

## F. Dispute resolution

Any dispute relating to the interpretation or application of this Policy shall be brought to the relevant committee Chair for conciliation. If the Chair cannot reach a decision on the dispute/appeal, this can be escalated for review to appropriate representatives of the governing bodies that developed the IDDO Platform governance framework: WHO-TDR and IDDO. The parties shall accept the decision of these governing bodies as final.

## G. Annual register

The Secretariat shall hold a register of Declarations of Interest which can be viewed on request by any third party on demand. Access to the register will only be restricted in exceptional circumstances.

## IDDO Platform: Confidentiality and Declaration of Interests Form

- 1) The IDDO Platform (the Platform) has access to certain information relating to the Platform which it 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, referee for or as otherwise connected to the Platform as defined in the Platform’s Conflict of Interest Policy, will have access to the Information in the course of his/her participation with the Platform.
- 3) The Platform is willing to provide, or arrange for the provision of, the Information to the Undersigned for the purpose of permitting the Undersigned to perform his/her responsibilities, provided that the Undersigned undertakes not to disclose the Information.
- 4) For the duration of the Undersigned’s membership of, or designation as referee for, the relevant committee, or involvement with the Platform and for a period of ten years following the termination thereof, the Undersigned undertakes to regard the Information as confidential and proprietary to the Platform and its members and/or parties collaborating with the Platform, 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 paragraphs 2 and 3 above, except that the Undersigned shall not be bound by any such obligations if he/she is clearly able to demonstrate that the Information:
  - a) was known to him/her prior to any disclosure by or on behalf of the Platform to the Undersigned; or
  - b) was in the public domain at the time of disclosure by or on behalf of the Platform 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 any committee to persons outside these bodies except as agreed by the Platform.
- 6) The Undersigned has read the Platform’s Conflict of Interest policy, hereby declares all conflicts or potential conflicts set out in the Exhibit to this Agreement and agrees to abide by the Conflict of Interest Policy throughout the course of his/her involvement with the Platform.
- 7) Any dispute relating to the interpretation or application of this Agreement shall, unless amicably settled, be subject to 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 rules of arbitration of the International Chamber of Commerce. The parties shall accept the arbitral award as final.

<b><i>Signature:</i></b>	<b><i>Name:</i></b>	<b><i>Date:</i></b>
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**Declared Interests:** [TO BE INSERTED AS NECESSARY]