

## SAPEA Declaration of Interests

### **1. POLICY ON DECLARATION OF INTERESTS**

1.) Spanning the disciplines of engineering, humanities, medicine, natural sciences and social sciences, SAPEA brings together the outstanding knowledge and expertise of Fellows from over 100 Academies, Young Academies and Learned Societies in more than 40 countries across Europe. SAPEA is part of the [European Scientific Advice Mechanism](#) (SAM) which provides independent, interdisciplinary and evidence-based scientific advice on policy issues to the European Commission and works closely with the [SAM High Level Group of Scientific Advisors](#).

2.) SAPEA experts come from a variety of academic and business backgrounds. The external activities they may engage in ranges from collaborations with the commercial world (e.g. through consultancy, research and development, or intellectual property licensing), to serving on government, business and community boards, or providing expert advice in the media or professional practice, outreach in schools or involvement in international projects.

3.) While these activities are considered to be in the public interest and of benefit for the home institution and the individuals concerned these activities may, on occasion, also give rise to conflicts of interest, whether potential or actual, perceived or alleged.

4.) Provisions in the Horizon 2020 standard Grant Agreement of SAPEA require the beneficiary to *“to prevent any situation where the impartial and objective implementation of the action is compromised for reasons involving economic interest, political or national affinity, family or emotional ties or any other shared interest (‘conflict of interests’). They must formally notify to the Commission without delay any situation constituting or likely to lead to a conflict of interests and immediately take all the necessary steps to rectify this situation. The Commission may verify that the measures taken are appropriate and may require additional measures to be taken by a specified deadline.”*

5.) Against that background the SAPEA Consortium opted for making possible conflicts of interest transparent using a slightly adapted standard Declaration of Interest used in other EU contexts. The SAPEA Consortium will manage possible conflicts of interest thus allowing activities to proceed as normal. By contrast, conflicts which are not managed effectively may jeopardise the Consortium’s public standing and may cause serious damage to SAPEA’s reputation and those of the individuals concerned.

6.) It is therefore SAPEA’s policy to encourage and foster external activities whilst ensuring that when conflicts or perceived conflicts of interest arise they are acknowledged and disclosed, and where needed, they are managed appropriately.

### **2. STANDARD DECLARATION OF INTERESTS (DOI) FORM FOR MEMBERS OF SAPEA WORKING GROUPS**

#### INTRODUCTION

The purpose of this form is to provide an overview of the interests of experts invited to participate in Working Groups convened by the Consortium of European Academies of Science in the context of Grant Agreement Nr 737432 “Science Advice for Policy by European Academies” (SAPEA) signed on 22

November 2016, hereafter referred to as 'SAPEA Consortium' and 'SAPEA Working Groups'. The Grant Agreement is a Coordination and Support Action further to the H2020-BA-EUROPE-ENA-2016 call - Coordinating scientific advice for policy making provided by the European Networks of Academies.

The first paragraph of Article 35 "Conflict of Interests" of the aforementioned Grant Agreement states that the beneficiary *must take all measures to prevent any situation where the impartial and objective implementation of the action is compromised for reasons involving economic interest, political or national affinity, family or emotional ties or any other shared interest ('conflict of interests'). They must formally notify to the Commission without delay any situation constituting or likely to lead to a conflict of interests and immediately take all the necessary steps to rectify this situation. The Commission may verify that the measures taken are appropriate and may require additional measures to be taken by a specified deadline.*

The current document is to be considered as a measure taken by the beneficiary to identify and, if it would exist, prevent any conflict of interests.

The interests listed below by the expert who signed the document will be examined by the SAPEA Consortium in order to assess whether they would constitute a conflict of interests ('Col'). In that case appropriate measures should be taken to forestall that an interest could unduly influence the capacity of an expert to act independently and in the public interest when participating in Activities of the Working Group.

The following Declaration of Interest has been slightly adapted from the Standard Declaration of Interests (DOI) Form for Experts invited by the Commission or by the High Level Group of Scientific Advisors to participate in activities organised under the aegis of the Scientific Advice Mechanism of the European Commission (SAM).

#### Definitions:

**"Activity"** or **"Activities"** (capitalised 'A') means an activity or activities organised by the SAPEA Consortium in particular for instance in its Working Groups.

**'Description'** includes any additional or useful comment the expert would like to mention.

**"Conflict of interest"** means any situation where an expert has an interest that may compromise or be reasonably perceived to compromise the expert's capacity to act independently and in the public interest when participating in the Activities of a Working Group that will contribute to advice given to the Commission.

**"Immediate family member"** means the individual's spouse, children and parents. "Spouse" includes a partner with whom the expert has a registered non marital regime. "Children" means the child(ren) the expert and the spouse have in common, the own child(ren) of the individual and the own child(ren) of the spouse.

**"Legal entity"** means any commercial business, industry association, consultancy, research institution or other enterprise whose funding is significantly derived from commercial sources. It also includes independent own commercial businesses, law offices, consultancies or similar.

**"Body"** means a governmental, international or non-profit organisation.

**"Meeting"** includes a series or cycle of meetings.

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Please answer each of the questions below. If the answer to any of the questions is "yes", please briefly describe relevant interests and circumstances, as appropriate.

If you do not describe relevant interests and your DOI form is considered to be incomplete, or if declared interests are considered to constitute a Conflict of Interest, you may be excluded from all or part of the Activities of the SAPEA Working Group.

First name: Alan Family name: Gow Employer/Affiliation: Heriot-Watt University Date: 02.07.2018 Name of Working Group/Topic: Transforming the Future of Ageing
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**1 EMPLOYMENT, CONSULTANCY AND LEGAL REPRESENTATION**

	<b>Within the past 5 years, were you employed or have you had any other professional relationship with a natural or legal entity, or held any non-remunerated post in a legal entity or other body with an interest in the field of the Activity in question?</b>	<b>yes</b>	<b>no</b>
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1a	Employment	<input type="checkbox"/>	X
1b	Consultancy, including services as an advisor	X	<input type="checkbox"/>
1c	Non-remunerated post	<input type="checkbox"/>	X
1d	Legal representation	<input type="checkbox"/>	X

Activity	Time period (from... until month/year)	Name of entity or body	Description
Issue expert	October 2016- February 2017	Global Council on Brain Health	Served as "issue expert" to report Global Council on Brain Health (2017). "The Brain and Social Connectedness: GCBH Recommendations on Social Engagement and Brain Health." Available at <a href="http://www.GlobalCouncilOnBrainHealth.org">www.GlobalCouncilOnBrainHealth.org</a>  AARP and Age UK paid for the travel costs associated with attending the in-person meeting and provided modest honoraria for the experts participating in the meeting on October 20-22, 2016 and subsequent conference calls.

## 2 MEMBERSHIP OF MANAGING BODY, SCIENTIFIC ADVISORY BODY OR EQUIVALENT STRUCTURE

	<b>Within the past 5 years, have you participated in the internal decision-making of a legal entity or other body with an interest in the field of Activities in question or have you participated in the works of a Scientific Advisory Body with voting rights on the outputs of that entity?</b>	<b>yes</b>	<b>no</b>
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<i>2a</i>	<i>Participation in a decision-making process</i>	<input type="checkbox"/>	X
<i>2b</i>	<i>Participation in the work of a Scientific Advisory Body</i>	<input type="checkbox"/>	X

<i>Activity</i>	<i>Time period (from... until month/year)</i>	<i>Name of legal entity or body</i>	<i>Description</i>

## 3 RESEARCH SUPPORT

	<b>Within the past 5 years, have you, or the research entity (institute or department) to which you belong, received any support from a legal entity or other body with an interest in the field of Activities in question?</b>	<b>yes</b>	<b>no</b>
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<i>3a</i>	<i>Research support, including grants, rents, sponsorships, fellowships, non-monetary support</i>	X	<input type="checkbox"/>
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<i>Activity</i>	<i>Time period (from... until month/year)</i>	<i>Name of legal entity or body</i>	<i>Description</i>
<b>Grant</b>	<b>November 2014-May 2016</b>	<b>Dunhill Medical Trust</b>	<b>Gow, A. J. &amp; Martin, M. A tablet for healthy ageing? Dunhill Medical Trust, £74,700, November 2014-May 2016.</b>
<b>Grant</b>	<b>July 2016-June 2019</b>	<b>Velux Stiftung</b>	<b>Gow, A. J. The Intervention Factory. Velux Stiftung, £343,728, July 2016-June 2019.</b>
<b>Grant</b>	<b>September 2017-August 2020</b>	<b>Velux Stiftung</b>	<b>Gow, A. J. &amp; Dewar, M. The Intervention Factory: PhD</b>

			Studentship. Velux Stiftung, £63,396.23, September 2017- August 2020.
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#### 4 FINANCIAL INTERESTS

	<b>Do you have current investments in a legal entity with an interest in the field of Activities in question, including holding of stocks and shares, and which amounts to more than 10,000 EUR per legal entity or entitling you to a voting right of 5% or more in such legal entity?</b>	<b>yes</b>	<b>no</b>
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<i>4a</i>	<i>Shares</i>	<input type="checkbox"/>	X
<i>4b</i>	<i>Other stock</i>	<input type="checkbox"/>	X

<i>Investment</i>	<i>Name of legal entity</i>	<i>Description</i>

#### 5 INTELLECTUAL PROPERTY

	<b>Do you have any intellectual property rights that might be affected by the outcome of the Activities in question?</b>	<b>yes</b>	<b>no</b>
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<i>5a</i>	<i>Patent, trademarks, or copyrights</i>	<input type="checkbox"/>	X
<i>5b</i>	<i>Others</i>	<input type="checkbox"/>	X

<i>Intellectual property</i>	<i>Description</i>

#### 6 PUBLIC STATEMENTS AND POSITIONS

	<b>Within the past 5 years, have you provided any expert opinion or testimony in the field of Activities in question, for a legal entity or other body as part of a regulatory, legislative or judicial process? Within the past 5 years have you held an office or other position, paid or unpaid, where you represented interests or defended a public statement or position in the field of Activities in question?</b>	<b>yes</b>	<b>no</b>
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<b>6a</b>	<i>For a legal entity or other body as part of a regulatory, legislative or judicial process</i>	<input type="checkbox"/>	X
<b>6b</b>	<i>Represented interests or defended an opinion</i>	<input type="checkbox"/>	X

<i>Activity</i>	<i>Time period (from... until month/year)</i>	<i>Name of legal entity or body</i>	<i>Description</i>

**7 INTERESTS OF IMMEDIATE FAMILY MEMBERS** yes      no

<b>7a</b>	<b>To your knowledge, are there any interests of your immediate family members which could be seen as undermining your independence when providing advice to the Commission in the field of the Activities in question?</b>	<input type="checkbox"/>	X
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<i>Interests</i>	<i>Time period (from... until month/year)</i>	<i>Name of legal entity or body</i>	<i>Description</i>

<b>7b</b>	<b>If interests of your immediate family members are declared, it is your responsibility to inform them about the collection of information on their interests included in the DOI and to provide them with the privacy statement attached to the guidance for filling in this DOI, and this at the latest when you file the DOI form with the SAPEA Consortium.</b>
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**8 OTHER RELEVANT INFORMATION** yes      no

<b>8a</b>	<b>Are there any other elements that could be seen as undermining your independence when providing advice to the Commission in the field of the Activities in question?</b>	<input type="checkbox"/>	X
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Description:

I hereby declare on my honour that I have read the guidance for completing this form. I also declare on my honour that the information disclosed in this form is true and complete to the best of my knowledge.

Should there be any change to the above information, including as regards upcoming activities, I will promptly notify the SAPEA Consortium and complete a new DOI form describing the changes in question.

I am informed that my personal data are stored and processed by the SAPEA Consortium in accordance with Article 39, paragraph 2 of the Grant Agreement Nr 737432 signed between the SAPEA Consortium as beneficiary of the grant, and the Commission on 22 November 2016.

I have been informed that this form may be shared with the European Commission and will be publicly available once the SAPEA report is published.

Date: 02.07.2018

Signature: Signed

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Annex 1

**3. GUIDANCE FOR FILLING IN THE DECLARATION OF INTERESTS (DOI) FORM FOR EXPERTS TO PARTICIPATE IN ACTIVITIES OF THE SAPEA CONSORTIUM**

This present DOI form is by and large similar in content to the one used to list the interests of members of experts of Commission Expert Groups as established by the Commission's horizontal rules on Commission expert groups and other similar entities are consultative bodies<sup>1</sup>. Individuals invited to participate in Activities as defined in the introduction to the form (i.e. Activities organised by the SAPEA Consortium), are due to act independently and in the public interest.

In order to ensure the highest integrity of experts, you are requested to duly complete the DOI form. You are required to disclose any circumstances that could give rise to a conflict of interest, i.e. any

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<sup>1</sup> Commission Decision of 30 May 2016, ref C(2016) 3301, Article 2.1 - See [http://ec.europa.eu/transparency/regexpert-/PDF/C\\_2016\\_3301\\_F1\\_COMMISSION\\_DECISION\\_EN.pdf](http://ec.europa.eu/transparency/regexpert-/PDF/C_2016_3301_F1_COMMISSION_DECISION_EN.pdf)

situation where your interests may compromise or may reasonably be perceived to compromise your capacity to act independently and in the public interest in participating in Activities. In particular, you must disclose in this DOI form any relevant professional and financial interests.

You must also declare relevant interests of your immediate family members. If interests of your immediate family members are declared, it is your responsibility to inform them about the collection of information on their interests included in this DOI form and to provide them with the privacy statement attached to this guidance, and this at the latest when you file the DOI form with the SAPEA Consortium.

Please submit the completed DOI form to the SAPEA Consortium, together with your CV, in order for the Consortium to determine if a Conflict of Interest would exist and if so, whether measures should be taken to avoid that a secondary interest that you may have could compromise your capacity to act independently and in the public interest in the work that you are requested to perform. If there is any change concerning the information provided in the form, including on upcoming activities, you must promptly inform the SAPEA Consortium and amend the DOI indicating the changes in question.

Please note that having a declared interest **does not necessarily mean** having a conflict of interest. Answering "Yes" to a question on this DOI form **does not automatically disqualify you or limit your participation** in the Working Group. The SAPEA Consortium will review your answers in a manner similar what is done in the context of the aforementioned horizontal rules and determine whether a conflict of interest relevant to the subject at hand exists<sup>2</sup>.

Where the SAPEA Consortium concludes that no conflict of interest exists, you can continue your work in the Working Group in a personal capacity. Where the SAPEA Consortium concludes that your interests may compromise or be reasonably perceived to compromise your capacity to act independently and in the public interest in the context of contributing to the Working Group in question, they can propose measures to avoid that a Conflict of Interest could compromise the results of the work in the Working Group.

If you decline to complete a DOI form, you shall be excluded from the Activities.

Personal data shall be collected and processed by the SAPEA Consortium in accordance with Article 39, paragraph 2 of the Grant Agreement Nr 737432 signed between the SAPEA Consortium and the Commission on 22 November 2016.

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<sup>2</sup> Idem, Article 11.