

**DOI model form for experts invited to participate in meetings of the Group of Scientific Advisors or of its specific formations**

STANDARD DECLARATION OF INTERESTS (DOI) FORM

FOR

EXPERTS INVITED BY THE COMMISSION

TO PARTICIPATE IN ACTIVITIES OF OR UNDER THE GROUP OF CHIEF SCIENTIFIC ADVISORS

Introduction

The purpose of this form is to provide an overview of the interests of experts invited to participate in activities of or under the Group of Chief Scientific Advisors ('the Group') for instance in its formation as Steering Group or in sub-groups (hereafter referred to as "Activities" or "Activity").

The interests listed below will be examined by the European Commission in order to assess whether they constitute a conflict of interests ('CoI'), in which case appropriate measures can 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.

The completed form will be published in the appropriate section of the SAM website <http://ec.europa.eu/research/sam/index.cfm> for the duration of the expert's involvement in the Activities and up to twelve months thereafter. It will not appear in the Register of Commission Expert groups<sup>1</sup> nor in the Transparency Register<sup>2</sup> managed in whole or in part by Commission.

Definitions:

"**Activity**" or "**Activities**" (capitalised 'A') means an activity or activities of or under the the Group of Chief Scientific Advisors for instance in its formation as Steering Group or in sub-groups.

"**Conflict of interest**" means any situation where an individual has an interest that may compromise or be reasonably perceived to compromise the individual's capacity to act independently and in the public interest when providing advice to the Commission in relation to Activities performed.

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

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<sup>1</sup> <http://ec.europa.eu/transparency/regexpert/index.cfm?do=groupDetail.groupDetail&groupID=3378&NewSearch=1&NewSearch=1>

<sup>2</sup> <http://ec.europa.eu/transparencyregister/public/homePage.do?redir=false&locale=en>

"**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.**

First name: Sabine
Family name: Pahl
Date: 26/9/18
Description of the Activity: Vice-chair of SAPEA/SAM working group producing evidence review report on micro- and nanoplastics; meeting of the Group of Chief Scientific Advisors in its formation of Coordination Group on Microplastic Pollution

## 1 EMPLOYMENT CONSULTANCY AND LEGAL REPRESENTATION

	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?		yes	no
<i>1a</i>	<i>Employment</i>		x	<input type="checkbox"/>
<i>1b</i>	<i>Consultancy, including services as an advisor</i>		x	<input type="checkbox"/>
<i>1c</i>	<i>Non-remunerated post</i>		<input type="checkbox"/>	x
<i>1d</i>	<i>Legal representation</i>		<input type="checkbox"/>	x
<i>activity</i>	<i>time period (from... until month/year)</i>	<i>name of entity or body</i>	<i>description</i>	
<b>Associate Professor in the School of Psychology, teaching and</b>	<b>Since 2006</b>	<b>University of Plymouth, UK</b>	<b>My research in particular focuses on interdisciplinary approaches to environmental issues, such as energy efficiency and marine plastic pollution. I am part of the university's International Marine Litter Unit, headed by Prof Richard Thompson, see</b>	

conducting research.			<a href="https://www.plymouth.ac.uk/research/marine-litter">https://www.plymouth.ac.uk/research/marine-litter</a>  I conduct empirical research on this topic, engage in dissemination of my research (e.g., via scientific publications) and impact-focused activities.
Contributor to GESAMP WG40 phase I and II (non-remunerated)	2014-2017	Advisory body nominated by IMO, FAO, UNESCO-IOC, UNIDO, WMO, IAEA, UN, UNEP, UNDP	My former PhD student and I were the only two behavioural scientists providing input to chapters on socio-economic aspects for Reports 90 and 93, see <a href="http://www.gesamp.org/work/groups/40">http://www.gesamp.org/work/groups/40</a>

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

	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?	yes	no
2a	Participation in a decision-making process	<input type="checkbox"/>	x
2b	Participation in the work of a Scientific Advisory Body *	<input type="checkbox"/>	x

**\* note the GESAMP WG 40 work above did not include formal voting rights, the group collaborated on the report as a team and the report then went to the sponsoring agencies.**

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

### 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>
<i>3a</i>	<i>Research support, including grants, rents, sponsorships, fellowships, non-monetary support</i>		x	<input type="checkbox"/>
<i>Activity</i>	<i>Time period (from ... until month/year)</i>	<i>Name of legal entity or body</i>	<i>Description</i>	
<b>Co-I on EU FP7 MARLISCO project</b>	<b>2012-2015</b>	<b>FP7 research project</b>	<b>I was co-investigator on this project with a focus on marine litter in Europe. My role was to lead the social science approach, coordinating two large European perception surveys and evaluation efforts for various engagement activities, see <a href="http://www.marlisco.eu/">http://www.marlisco.eu/</a>.</b>	
<b>Co-I on Fishing for Litter research project</b>	<b>2014</b>	<b>DEFRA-funded research project</b>	<b>We evaluated the Fishing for Litter scheme in the UK, particularly in terms of co-benefit on fisher attitudes and spillover behaviour and made a number of recommendations to DEFRA, see <a href="http://sciencesearch.defra.gov.uk/Default.aspx?Menu=Menu&amp;Module=More&amp;Location=None&amp;Completed=0&amp;ProjectID=17938">http://sciencesearch.defra.gov.uk/Default.aspx?Menu=Menu&amp;Module=More&amp;Location=None&amp;Completed=0&amp;ProjectID=17938</a></b>	
<b>Collaborator on H2020 funded ResponS E A ble project</b>	<b>Since 2015</b>	<b>H2020 project</b>	<b>I advise on communication of sustainability issues around the ocean and the evaluation of engagement and education activities</b>	

### 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>
<i>4a</i>	<i>Shares</i>	<input type="checkbox"/>	x

4b	Other stock	<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>
5a	<i>Patent, trademarks, or copyrights</i>	<input type="checkbox"/>	x
5b	<i>Others</i>	<input type="checkbox"/>	x
<i>Intellectual property</i>		<i>Description</i>	

**6 PUBLIC STATEMENTS AND POSITIONS**

	<i>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?</i>		<b>yes</b>	<b>no</b>
6a	<b>For a legal entity or other body as part of a regulatory, legislative or judicial process</b>		<input type="checkbox"/>	x
6b	<b>Represented interests or defended an opinion</b>		<input type="checkbox"/>	x
<b>Activity</b>	<b>Time period (from... until month/year)</b>	<b>Name of legal entity or body</b>	<b>Description</b>	



GUIDANCE FOR FILLING IN THE DECLARATION OF INTERESTS (DOI) FORM

FOR EXPERTS INVITED BY THE COMMISSION TO PARTICIPATE

IN ACTIVITIES OF OR UNDER THE GROUP OF CHIEF SCIENTIFIC ADVISORS

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>4</sup>. Individuals invited to participate in Activities as defined in the introduction to the form (i.e. activities of or under the Group of Chief Scientific Advisors, for instance in its formation as Steering Group or in sub-groups), 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 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 the latter are declared, it is your responsibility to inform them about the collection and publication 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 Commission.

Please submit the completed DOI form to the competent Commission department, together with your CV, in order for Commission services 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 interests 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 competent Commission departments 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 a sub-group. The competent Commission departments will review your answers like they do in the context of the aforementioned horizontal rules and determine whether a conflict of interest relevant to the subject at hand exists<sup>5</sup>.

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<sup>4</sup> C(2016) 3301, Article 2.1.

<sup>5</sup> Idem, Article 11.

Where the competent Commission departments conclude that no conflict of interest exists, you can continue your work in the context of the subgroup in a personal capacity. Where the competent Commission departments conclude 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 subgroup in question, they can propose measures to avoid that a Conflict of Interests could compromise the results of the work in the subgroup.

Your DOI form shall be made publicly available on the website of the Scientific Advice Mechanism <http://ec.europa.eu/research/sam/index.cfm>, for the duration of your involvement in the Activities in question.

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

Personal data shall be collected, processed and published by the Commission in accordance with Regulation (EC) No 45/2001<sup>6</sup>

In Annex to this Appendix: the applicable Standard Privacy Statement explains why we collect your data, which data are collected, the period of retention of your data, the way your data are protected, the access rights by our services and by you.

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<sup>6</sup> <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2001:008:0001:0022:en:PDF>



Standard Privacy Statement

**PROTECTION OF YOUR PERSONAL DATA**

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**1. Introduction**

This privacy statement explains the reason for the processing, the way the European Institutions collect, handle and ensure protection of all personal data provided, how that information is used and what rights you may exercise in relation to your data (the right to access, rectify, block etc.).

The European institutions are committed to protecting and respecting your privacy. As this service/application collects and further processes personal data, Regulation (EC) N°45/2001<sup>7</sup> of the European Parliament and of the Council of 18 December 2000 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data, is applicable.

This statement concerns the SAM website managed by the European Commission, DG RTD, Head of Unit RTD.01 (Scientific Advice Mechanism).

Personal data submitted to Commission departments as part of rejected applications are not published. The competent Commission departments keep these data for six months and do not process them for other purposes.

**2. Why do we process your data?**

Purpose of the processing operation: DG RTD, Head of Unit RTD.01 (Scientific Advice Mechanism). ('the Data Controller') collects and uses your personal information to ensure transparency on participation and Activities.

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<sup>7</sup> [Regulation \(EC\) N° 45/2001](#) (OJ L8 of 12/01/2001).

The processing and publication on the SAM website is necessary for the performance of a task carried out in the public interest, since it increases the transparency on Commission expert groups (article 5 (a) of Regulation (EC) N° 45/2001).

As regards, in particular, the declarations of interests filled in by experts, the processing of personal data of these experts serves the public interest of enabling the Commission to verify the experts' independence in providing advice to the Commission. Furthermore, the public disclosure of declarations of interests allows for public scrutiny of the interests declared by experts, which is necessary in order to ensure public confidence in the independence of these experts. The public disclosure of declarations of interests also ensures a high degree of transparency with respect to Activities carried out and aims at contributing to fostering the integrity of the experts in question.

Art 27 of Regulation (EC) N° 45/2001 is not applicable.

### **3. Which data do we collect and process?**

The personal data collected and further processed may be:

- Name;
- Professional title;
- Professional profile;
- Nationality;
- Gender;
- Information included in the declarations of interest.

### **4. How long do we keep your data?**

The Data Controller only keeps the data for the time necessary to fulfil the purpose of collection or further processing.

When an individual is no longer participating in Activities in question listed on the SAM website, all personal information related to this individual is removed from that website. The competent Commission departments keep personal information for 5 years after the date where relevant individuals cease to participate in the Activities.

Declarations of interests of individuals participating in Activities carried out under the Coordination and Support Action in the context of the H2020-BA-EUROPE-ENA-2016 call - Coordinating scientific advice for policy making provided by the European networks of Academies ('SAPEA contract') are published on the SAM website as long as they are members.

### **5. How do we protect your data?**

All data in electronic format (e-mails, documents, uploaded batches of data etc.) are stored either on the servers of the European Commission or of its contractors, the operations of

which abide by the European Commission's security decision of 16 August 2006 C(2006) 3602 concerning the security of information systems used by the European Commission<sup>8</sup>.

The Commission's contractors are bound by a specific contractual clause for any processing operations of your data on behalf of the Commission, and by the confidentiality obligations deriving from the transposition of the General Data Protection Regulation (GDPR) (EU) 2016/679.

## **6. Who has access to your data and to whom is it disclosed?**

Information collected is publicly available on the SAM website <http://ec.europa.eu/research/sam/index.cfm>.

## **7. What are your rights and how can you exercise them?**

According to Regulation (EC) 45/2001, you are entitled to access your personal data and rectify and/or block it in case the data is inaccurate or incomplete.

If you do not wish to have your name published on SAM website, you may submit a request to the relevant Commission department for a derogation from publication. A derogation shall be granted where justified on compelling legitimate grounds in relation to your specific situation, in particular where disclosure of the experts' name could endanger your security or integrity.

You can exercise your rights by contacting the secretariat of the competent Commission department or in case of conflict the Data Protection Officer and if necessary the European Data Protection Supervisor using the contact information given at point 8 below.

## **8. Contact information**

If you have comments or questions, any concerns or a complaint regarding the collection and use of your personal data, please feel free to contact the secretariat of the competent Commission department, using the following contact information:

The Data Processor:

- Unit RTD.02 to the attention of Johannes KLUMPERS, Head of Union
- Phone: +32 229-60911
- [EC-SAM@ec.europa.eu](mailto:EC-SAM@ec.europa.eu)

The Data Protection Officer ('DPO') of the Commission: [DATA-PROTECTION-OFFICER@ec.europa.eu](mailto:DATA-PROTECTION-OFFICER@ec.europa.eu)

The European Data Protection Supervisor ('EDPS'): [edps@edps.europa.eu](mailto:edps@edps.europa.eu).

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<sup>8</sup> [http://ec.europa.eu/internal\\_market/imi-net/docs/decision\\_3602\\_2006\\_en.pdf](http://ec.europa.eu/internal_market/imi-net/docs/decision_3602_2006_en.pdf)

**9. Where to find more detailed information?**

The Commission Data Protection Officer publishes the register of all operations processing personal data. You can access the register on the following link: <http://ec.europa.eu/dpo-register>

This specific processing has been notified to the DPO with the following reference: DPO-2194.8.

## **Privacy Statement**

### ***Meeting***

#### ***Microplastic Pollution 2nd Coordination Group (CG) Meeting***

#### ***By conference call***

***16 June 2018 – 11:00 – 12:00***

**Description:** Personal data related to this invitation will be processed in accordance with Regulation (EC) no 45/2001 of the European Parliament and of the Council on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data.

**Purpose:** The purpose of the processing of personal data for the meeting is the management/organisation of the meeting, including management of: lists for contacts, invitations, participants, reports, distribution of reports, feedback on reports, meeting follow-up, follow-up meetings, follow-up actions, information sharing

**Personal data collected and further processed are:**

- Data necessary for the organisation and management of the meeting, such as Gender (*needed for the right title*)/name/surname/profession/postal & E-mail Addresses/phone number/fax number/etc.

**Controller:** General Director of Directorate-General Research & Innovation

**Recipients:** Commission staff, organisers, commission's contractors through Used Id/Password, participants and organisers for contacts lists/minutes/reports/notices/proceedings/etc, public in case of publication on Intranet/Internet/paper (only further to prior approval of data subjects: opt-out option when registering), without prejudice to a possible transmission to the bodies in charge of a monitoring or inspection task in accordance with Community legislation.

**Data retention:** Your personal data will be part of a list of contact details shared internally amongst the staff of Directorate-General Research & Innovation and possibly other services of the European commission for the purpose of contacting you in the future in the context of the Directorate-General's activities. Such lists will be regularly checked and people will be asked at least every 5 years if they wish to remain on these lists. If you do not agree with this, please contact the Controller by using the Contact Information mentioned in the invitation letter and by explicitly specifying your request.

**Contact:** Please use the contact information mentioned in the invitation letter.

**Recourse:** Complaints, in case of conflict, can be addressed to the European Data Protection Supervisor.