# NATIONAL INSTITUTE FOR HEALTH AND CARE EXCELLENCE

Interventional Procedures Programme

# **Specialist Adviser questionnaire**

Before completing this questionnaire, please read <u>Conflicts of Interest for Specialist Advisers</u>. Certain conflicts exclude you from offering advice, however, please return the questionnaire to us incomplete for our records.

Please respond in the boxes provided.			
Please complete and return to:	tristan.mckenna@nice.org.uk		
Procedure Name:	IP1193 Minimally invasive sacroiliac joint fusion surgery for chronic pain		
Name of Specialist Advisor:	Mr Sashin Ahuja		
Specialist Society:	British Association of Spinal Surgeons (BASS)		
1 Do you have adequate knowledge of this procedure to provide advice?			
X Yes.			
☐ No – please return the form/a	answer no more questions.		
1.1 Does the title used above de	scribe the procedure adequately?		
Yes.			
X No. If no, please enter any oth	ner titles below.		
<b>Comments:</b> With the currently devices available in the market we can only achieve stabilisation of the joint and don't achieve fusion across the full joint as the devices are mainly anchors/tethers across the joint. Hence stabilisation would the preferred term in my opinion rather then fusion.			

2	Your involvement in the procedure		
2.1	Is this procedure relevant to your specialty?		
X	Yes.		
	Is there any kind of inter-specialty controversy over the procedure?		
	No. If no, then answer no more questions, but please give any information you can about who is likely to be doing the procedure.		
Com	ments:		
The next 2 questions are about whether you carry out the procedure, or refer patients for it. If you are in a specialty that normally carries out the procedure please answer question 2.2.1. If you are in a specialty that normally selects or refers patients for the procedure, please answer question 2.2.2.			
2.2.1	If you are in a specialty that does this procedure, please indicate your experience with it:		
	I have never done this procedure.		
	I have done this procedure at least once.		
X	I do this procedure regularly.		
Comments:			
2.2.2	If your specialty is involved in patient selection or referral to another specialty for this procedure, please indicate your experience with it.		
	I have never taken part in the selection or referral of a patient for this procedure.		
	I have taken part in patient selection or referred a patient for this procedure at least once.		
	I take part in patient selection or refer patients for this procedure regularly.		
Comments:			
2.3	Please indicate your research experience relating to this procedure (please choose one or more if relevant):		
	I have done bibliographic research on this procedure.		

	I have done research on this procedure in laboratory settings (e.g. device-related research).
X	I have done clinical research on this procedure involving patients or healthy volunteers.
	I have had no involvement in research on this procedure.
	Other (please comment)
Com	nments:
3	Status of the procedure
3.1	Which of the following best describes the procedure (choose one):
X	Established practice and no longer new.
	A minor variation on an existing procedure, which is unlikely to alter the procedure's safety and efficacy.
	Definitely novel and of uncertain safety and efficacy.
	The first in a new class of procedure.
Com	nments:
3.2	What would be the comparator (standard practice) to this procedure?
one	procedure is standard practice over the years. Previously ie nearly 10 years ago might have done open sacro-iliac joint fusion but that no longer is the case ently.
3.3	Please estimate the proportion of doctors in your specialty who are doing this procedure (choose one):
	More than 50% of specialists engaged in this area of work.
X	10% to 50% of specialists engaged in this area of work.
	Fewer than 10% of specialists engaged in this area of work.
	Cannot give an estimate.
Com	nments:

# 4 Safety and efficacy

# 4.1 What is the potential harm of the procedure?

Please list adverse events and major risks (even if uncommon) and, if possible, estimate their incidence, as follows:

1. Adverse events reported in the literature (if possible please cite literature)

Infection, Malpositioned screw/sub optimal screw placement, Neural injury due to malpositioned screw, Pseudarthrosis, Pelvic pain, Iliac fracture, Urinary retention due to pain. (Duhon BS-Int J Spine Surgery-Apr 2016, Sturesson B- ESJ 2016, Polly DW-Neurosurg 2015) .

2. Anecdotal adverse events (known from experience)

Localised bleeding and hematoma, Implant loosening which would be similar to pseudarthrosis.

3. Theoretical adverse events

Nil specific

#### 4.2 What are the key efficacy outcomes for this procedure?

Minimally invasive as the tile suggests which reduces the inpatient stay and most patients are discharged within 24-48hours.

4.3 Are there uncertainties or concerns about the *efficacy* of this procedure? If so, what are they?

Uncertainties are more so with regards the patient selection and the correct indication for this procedure.

#### 4.4 What training and facilities are needed to do this procedure safely?

Understanding of the anatomy. It would be useful to attend a cadaveric training workshop. Some of our colleagues have either visited (to see the procedure) or asked (to help with their first case) an experienced peer for help.

4.5 Are there any major trials or registries of this procedure currently in progress? If so, please list.

Not that I am aware of.

4.6 Are you aware of any abstracts that have been *recently* presented/ published on this procedure that may not be listed in a standard literature search, for example PUBMED? (This can include your own work). If yes, please list.

Please note that NICE will do a literature search: we are only asking you for any very recent or potentially obscure abstracts and papers. Please do not feel the need to supply a comprehensive reference list (but you may list any that you think are particularly important if you wish).

Not aware of any.

4.7 Is there controversy, or important uncertainty, about any aspect of the way in which this procedure is currently being done or disseminated?

I don't believe so.

**Comments:** 

#### 5 Audit Criteria

Please suggest a minimum dataset of criteria by which this procedure could be audited.

5.1 Outcome measures of benefit (including commonly used clinical outcomes, both short and long - term; and quality-of-life measures):

ODI, EQ5D, SF36, VAS, Majeed score

5.2 Adverse outcomes (including potential early and late complications):

Most covered in response to 4.1 as above

- 6 Trajectory of the procedure
- 6.1 In your opinion, how quickly do you think use of this procedure will spread?

Slow/gradual. But not expecting to grow exponentially as it has a very limited utility for a very specific diagnosis.

6.2	This procedure,	if safe and efficacious,	is likely to be c	arried out in
(choos	se one):			

X	Most or all district general hospitals.
	A minority of hospitals, but at least 10 in the UK.
	Fewer than 10 specialist centres in the UK.
	Cannot predict at present.

6.3 of pati	The potential impact of this procedure on the NHS, in terms of numbers ents eligible for treatment and use of resources, is:
	Major.
	Moderate.
X	Minor.
Comm	ents:
-	Other information

#### 7 Other information

- 7.1 Is there any other information about this procedure that might assist NICE in assessing the possible need to investigate its use?
- 8 Data protection and conflicts of interest
- 8. Data protection, freedom of information and conflicts of interest
- 8.1 Data Protection

The information you submit on this form will be retained and used by the NICE and its advisers for the purpose of developing its guidance and may be passed to other approved third parties. Your name and specialist society will be published in NICE publications and on the NICE website. The specialist advice questionnaire will be published in accordance with our guidance development processes and a copy will be sent to the nominating Specialist Society. Please avoid identifying any individual in your comments.

**X** I have read and understood this statement and accept that personal information sent to us will be retained and used for the purposes and in the manner specified above and in accordance with the Data Protection Act 1998.

# 8.2 Declarations of interest by Specialist Advisers advising the NICE Interventional Procedures Advisory Committee

Nothing in your submission shall restrict any disclosure of information by NICE that is required by law (including in particular, but without limitation, the Freedom of Information Act 2000).

Please submit a conflicts of interest declaration form listing any potential conflicts of interest including any involvement you may have in disputes or complaints relating to this procedure.

Please use the "Conflicts of Interest for Specialist Advisers" policy as a guide when declaring any conflicts of interest. Specialist Advisers should seek advice if needed from the Associate Director – Interventional Procedures.

Do you or a member of your family have a **personal pecuniary** interest? The main examples are as follows: Consultancies or directorships attracting regular or occasional YES payments in cash or kind X NO Fee-paid work – any work commissioned by the healthcare industry – Χ **YES** this includes income earned in the course of private practice NO **Shareholdings** – any shareholding, or other beneficial interest, in shares ☐ YES of the healthcare industry Χ NO **Expenses and hospitality** – any expenses provided by a healthcare YES industry company beyond those reasonably required for accommodation, meals and travel to attend meetings and conferences X NO **Investments** – any funds that include investments in the healthcare ☐ YES industry Χ NO Do you have a **personal non-pecuniary** interest – for example have you YES made a public statement about the topic or do you hold an office in a professional organisation or advocacy group with a direct interest in the Χ NO topic? Do you have a **non-personal** interest? The main examples are as follows: Χ **YES** Fellowships endowed by the healthcare industry NO Support by the healthcare industry or NICE that benefits his/her YES position or department, eg grants, sponsorship of posts X NO If you have answered YES to any of the above statements, please describe the nature of the conflict(s) below. Comments: -Fee paid work for educational meetings-Globus medical including one preceptor visit for supporting a colleague to perform Sacro-iliac joint stabilisation. -Fellowships sponsored by Depuy Syntes & Nuvasive for the Health Board. Thank you very much for your help. **Dr Tom Clutton-Brock. Interventional Professor Carole Longson, Director, Procedures Advisory Committee Chair Centre for Health Technology** Evaluation. Jan 2016

<sup>&</sup>lt;sup>1</sup> 'Family members' refers to a spouse or partner living in the same residence as the member or employee, children for whom the member or employee is legally responsible, and adults for whom the member or employee is legally responsible (for example, an adult whose full power of attorney is held by the individual).

#### **Conflicts of Interest for Specialist Advisers**

- 1 Declarations of interest by Specialist Advisers advising the NICE Interventional Procedures Advisory Committee
- 1.1 Any conflicts of interest set out below should be declared on the questionnaire the Specialist Adviser completes for the procedure.
- 1.2 Specialist Advisers should seek advice if required from the Associate Director Interventional Procedures.

# 2 Personal pecuniary interests

- 2.1 A personal pecuniary interest involves a current personal payment to a Specialist Adviser, which may either relate to the manufacturer or owner of a product or service being evaluated, in which case it is regarded as 'specific' or to the industry or sector from which the product or service comes, in which case it is regarded as 'non-specific'. The main examples are as follows.
- 2.1.1 **Consultancies** any consultancy, directorship, position in or work for the healthcare industry that attracts regular or occasional payments in cash or kind (this includes both those which have been undertaken in the 12 months preceding the point at which the declaration is made and which are planned but have not taken place).
- 2.1.2 **Fee-paid work** any work commissioned by the healthcare industry for which the member is paid in cash or in kind (this includes both those which have been undertaken in the 12 months preceding the point at which the declaration is made and which are planned but have not taken place).
- 2.1.3 **Shareholdings** any shareholding, or other beneficial interest, in shares of the healthcare industry that are either held by the individual or for which the individual has legal responsibility (for example, children, or relatives whose full Power of Attorney is held by the individual). This does not include shareholdings through unit trusts, pensions funds, or other similar arrangements where the member has no influence on financial management.
- 2.1.4 **Expenses and hospitality** any expenses provided by a healthcare industry company beyond that reasonably required for accommodation, meals and travel to attend meetings and conferences (this includes both those which have been undertaken in the 12 months preceding the point at which the declaration is made and which are planned but have not taken place.
- 2.1.5 **Investments** any funds which include investments in the healthcare industry that are held in a portfolio over which individuals have the ability to instruct the fund manager as to the composition of the fund.
- 2.2 No personal interest exists in the case of:
- 2.2.1 assets over which individuals have no financial control (for example, wide portfolio unit trusts and occupational pension funds) and where the fund manager has full discretion as to its composition (for example, the Universities Superannuation Scheme)
- 2.2.2 accrued pension rights from earlier employment in the healthcare industry.

# 3 Personal family interest

- 3.1 This relates to the personal interests of a family member and involves a **current payment** to the family member of the Specialist Adviser. The interest may relate to the manufacturer or owner of a product or service being evaluated, in which case it is regarded as '**specific**', or to the industry or sector from which the product or service comes, in which case it is regarded as '**non-specific**'. The main examples include the following.
- 3.1.1 Any consultancy, directorship, position in or work for a healthcare industry that attracts regular or occasional payments in cash or in kind.
- 3.1.2 Any fee-paid work commissioned by a healthcare industry for which the member is paid in cash or in kind.
- 3.1.3 Any shareholdings, or other beneficial interests, in a healthcare industry which are either held by the family member or for which an individual covered by this Code has legal responsibility (for example, children, or adults whose full Power of Attorney is held by the individual).
- 3.1.4 Expenses and hospitality provided by a healthcare industry company (except where they are provided to a general class of people such as attendees at an open conference)
- 3.1.5 Funds which include investments in the healthcare industry that are held in a portfolio over which individuals have the ability to instruct the fund manager as to the composition of the fund.
- 3.2 No personal family interest exists in the case of:
- 3.2.1 assets over which individuals have no financial control (for example, wide portfolio unit trusts and occupational pension funds) and where the fund manager has full discretion as to its composition (for example, the Universities Superannuation Scheme)
- 3.2.2 accrued pension rights from earlier employment in the healthcare industry.

# 4 Personal non-pecuniary interests

These might include, but are not limited to:

- 4.1 a clear opinion, reached as the conclusion of a research project, about the clinical and/or cost effectiveness of an intervention under review
- 4.2 a public statement in which an individual covered by this Code has expressed a clear opinion about the matter under consideration, which could reasonably be interpreted as prejudicial to an objective interpretation of the evidence
- 4.3 holding office in a professional organisation or advocacy group with a direct interest in the matter under consideration
- 4.4 other reputational risks in relation to an intervention under review.

#### 5 Non-personal interests

5.1 A non-personal interest involves payment that benefits a department or organisation for which a Specialist Advisor is responsible, but that is not received by the Specialist Advisor personally. This may either relate to the product or service being evaluated, in which case it is regarded as 'specific,' or to the manufacturer or owner of the product or service, but is unrelated to the matter under consideration, in which case it is regarded as 'non-specific'. The main examples are as follows.

- 5.1.1 **Fellowships** the holding of a fellowship endowed by the healthcare industry.
- 5.1.2 **Support by the healthcare industry or NICE** any payment, or other support by the healthcare industry or by NICE that does not convey any pecuniary or material benefit to a member personally but that does benefit his/her position or department. For example:
- a grant from a company for the running of a unit or department for which a Specialist Advisor is responsible
- a grant, fellowship or other payment to sponsor a post or member of staff in the unit for which a Specialist Adviser is responsible. This does not include financial assistance for students
- the commissioning of research or other work by, or advice from, staff who work in a unit for which the specialist advisor is responsible
- one or more contracts with, or grants from, NICE.
- 5.2 Specialist Advisers are under no obligation to seek out knowledge of work done for, or on behalf of, the healthcare industry within departments for which they are responsible if they would not normally expect to be informed.

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Interventional Procedures Programme

# **Specialist Adviser questionnaire**

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Plea	ise respond in the boxes pro	vided.	
Plea	se complete and return to:	tristan.mckenna@nice.org.uk	
Pro	cedure Name:	IP1193 Minimally invasive sacroiliac joint fusion surgery for chronic pain	
Nam	ne of Specialist Advisor:	A Khurana	
Specialist Society:		British Association of Spinal Surgeons (BASS)	
1	Do vou have adequate kno	wledge of this procedure to provide advice?	
•	Do you mare adequate mie	eage of the procedure to provide darries.	
	Yes.		
	No – please return the form	n/answer no more questions.	
1.1	Does the title used above d	escribe the procedure adequately?	
$\boxtimes$	Yes.		
	No. If no, please enter any o	ther titles below.	
Con	nments:		
2	Your involvement in the pro	ocedure	
2.1	Is this procedure relevant t	o your specialty?	
$\boxtimes$	Yes.		

$\boxtimes$	Is there any kind of inter-specialty controversy over the procedure?		
	No. If no, then answer no more questions, but please give any information you can about who is likely to be doing the procedure.		
Comr	ments:		
	procedure is usually done by Spinal Surgeons, however, some Pelvis/ Trauma eons undertake the procedure as well for chronic pain or instability.		
patie pleas	next 2 questions are about whether you carry out the procedure, or referents for it. If you are in a specialty that normally carries out the procedure see answer question 2.2.1. If you are in a specialty that normally selects or see patients for the procedure, please answer question 2.2.2.		
2.2.1	If you are in a specialty that does this procedure, please indicate your experience with it:		
	I have never done this procedure.		
$\boxtimes$	I have done this procedure at least once.		
	I do this procedure regularly.		
Comr	ments:		
I undertake this procedure using strict selection criterion.			
2.2.2	If your specialty is involved in patient selection or referral to another specialty for this procedure, please indicate your experience with it.		
	I have never taken part in the selection or referral of a patient for this procedure.		
	I have taken part in patient selection or referred a patient for this procedure at least once.		
	I take part in patient selection or refer patients for this procedure regularly.		
Comments:			
2.3	Please indicate your research experience relating to this procedure (please choose one or more if relevant):		
	I have done bibliographic research on this procedure.		
	I have done research on this procedure in laboratory settings (e.g. device-related research).		

	I have done clinical research on this procedure involving patients or healthy volunteers.
	I have had no involvement in research on this procedure.
	Other (please comment)
Com	ments:
the fi J Bo Perc	lertook a review of consecutive 15 pts operated for this procedure and published indings in JBJS: ne Joint Surg Br. 2009 May;91(5):627-31. doi: 10.1302/0301-620X.91B5.21519. utaneous fusion of the sacroiliac joint with hollow modular anchorage screws: cal and radiological outcome. Khurana A1, Guha AR, Mohanty K, Ahuja S.
Stati	us of the procedure
2.4	Which of the following best describes the procedure (choose one):
$\boxtimes$	Established practice and no longer new.
	A minor variation on an existing procedure, which is unlikely to alter the procedure's safety and efficacy.
	Definitely novel and of uncertain safety and efficacy.
	The first in a new class of procedure.
Com	ments:
effication right SIJ. anato	ald consider the procedure to be an established procedure as it has proven acy and safety. However the results of the procedure are highly dependent on patient selection and thorough work up to ensure that the source of pain is the Also undertaking the procedure needs a good understating of the regional omy and ability to interpret the intraoperative fluoroscopic images. These are key aintaining safety of the procedure.
2.5	What would be the comparator (standard practice) to this procedure?
comi	unaware of any other comparative standard or established practice. The mon approach could be continuing with non-invasive approach with analgesic ecations.
2.6	Please estimate the proportion of doctors in your specialty who are doing this procedure (choose one):
	More than 50% of specialists engaged in this area of work.
	10% to 50% of specialists engaged in this area of work.
	Fewer than 10% of specialists engaged in this area of work.

	Cannot give an estimate.			
Co	Comments:			
3	Safety and efficacy			
3.1	What is the potential harm of the procedure?			
	Please list adverse events and major risks (even if uncommon) and, if possible, estimate their incidence, as follows:			
1.	Adverse events reported in the literature (if possible please cite literature)			
Res	sidual/ continuing pain			
Noi	n Union			
Injury to L5/ Sacral neve roots by screw malpositioning.				
2.	Anecdotal adverse events (known from experience)			
As	above			
_	Theoretical adverse events above			
3.2	What are the key efficacy outcomes for this procedure?			
Imp	provement in pain and function.			

# 3.3 Are there uncertainties or concerns about the *efficacy* of this procedure? If so, what are they?

No all patients with pain in the SIJ region have the source of pain actually from SIJ. Hence it remains particularly important to undertake an appropriate work up to establish the SIJ as the source of pain before undertaking the procedure. In a carefully selected patient I consider this procedure to be an efficacious procedure.

### 3.4 What training and facilities are needed to do this procedure safely?

The training requirements would be for any similar specialist procedure, wherein a surgeon assists and undertakes a few procedures under supervision before being able to perform the procedure independently. Understanding the intra-operative x-rays and regional anatomy would be essential. Cadaveric courses would be a good way of establishing this understanding and the underlying principles of the technique.

3.5 Are there any major trials or registries of this procedure currently in progress? If so, please list.

The outcomes of any procedure undertaken by a spinal surgeon should be forwarded to the Spinal Registry as standard.

3.6 Are you aware of any abstracts that have been *recently* presented/ published on this procedure that may not be listed in a standard literature search, for example PUBMED? (This can include your own work). If yes, please list.

Please note that NICE will do a literature search: we are only asking you for any very recent or potentially obscure abstracts and papers. Please do not feel the need to supply a comprehensive reference list (but you may list any that you think are particularly important if you wish).

No

3.7 Is there controversy, or important uncertainty, about any aspect of the way in which this procedure is currently being done or disseminated?

No

#### 5 Audit Criteria

Please suggest a minimum dataset of criteria by which this procedure could be audited.

5.1 Outcome measures of benefit (including commonly used clinical outcomes, both short and long - term; and quality-of-life measures):

ODI, EQ5D, VAS for pain, Majeeds Scoring System

5.2 Adverse outcomes (including potential early and late complications):

Residual/ Recurrent pain Permanent nerve injury Need for resurgery Infection

- 6 Trajectory of the procedure
- 6.1 In your opinion, how quickly do you think use of this procedure will spread?

The procedure has gradually evolved and progressed over several years and I expect the same over the next few years.

6.2 (choo	This procedure, if safe and efficacious, is likely to be carried out in ose one):
	Most or all district general hospitals.
$\boxtimes$	A minority of hospitals, but at least 10 in the UK.
	Fewer than 10 specialist centres in the UK.
	Cannot predict at present.
Comr	ments:
	ect this procedure to be carried out in University hospitals and large DGHs there are Spinal units with surgeons trained to undertake the procedure.
6.3 of par	The potential impact of this procedure on the NHS, in terms of numbers tients eligible for treatment and use of resources, is:
	Major.
	Moderate.
	Minor.
Comr	ments:
7	Other information
7.1 NICE	Is there any other information about this procedure that might assist in assessing the possible need to investigate its use?
Nil	
8	Data protection and conflicts of interest
8. Da	ta protection, freedom of information and conflicts of interest
8.1 Da	ata Protection
its advappro	offormation you submit on this form will be retained and used by the NICE and evisers for the purpose of developing its guidance and may be passed to other eved third parties. Your name and specialist society will be published in NICE eations and on the NICE website. The specialist advice questionnaire will be shed in accordance with our guidance development processes and a copy will

be sent to the nominating Specialist Society. Please avoid identifying any individual

in your comments.

I have read and understood this statement and accept that personal information sent to us will be retained and used for the purposes and in the manner specified above and in accordance with the Data Protection Act 1998.

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Nothing in your submission shall restrict any disclosure of information by NICE that is required by law (including in particular, but without limitation, the Freedom of Information Act 2000).

Please submit a conflicts of interest declaration form listing any potential conflicts of interest including any involvement you may have in disputes or complaints relating to this procedure.

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Do you or a member of your family have a **personal pecuniary** interest? The main examples are as follows:

Consultancies or directorships attracting regular or occasional payments in cash or kind		YES
		NO
Fee-paid work – any work commissioned by the healthcare industry –		YES
this includes income earned in the course of private practice		NO
Shareholdings – any shareholding, or other beneficial interest, in shares		YES
of the healthcare industry		NO
<b>Expenses and hospitality</b> – any expenses provided by a healthcare industry company beyond those reasonably required for accommodation, meals and travel to attend meetings and conferences		YES
		NO
Investments – any funds that include investments in the healthcare industry		YES
		NO
Do you have a <b>personal non-pecuniary</b> interest – for example have you made a public statement about the topic or do you hold an office in a professional organisation or advocacy group with a direct interest in the topic?		YES
		NO
Do you have a <b>non-personal</b> interest? The main examples are as follows:		
Fellowships endowed by the healthcare industry		YES
	$\boxtimes$	NO

7

<sup>&</sup>lt;sup>1</sup> 'Family members' refers to a spouse or partner living in the same residence as the member or employee, children for whom the member or employee is legally responsible, and adults for whom the member or employee is legally responsible (for example, an adult whose full power of attorney is held by the individual).

Support by the healthcare industry or NICE that benefits his/her position or department, eg grants, sponsorship of posts			YES
		$\boxtimes$	NO
If you have answered YES to any of the above statements, please describe the nature of the conflict(s) below.			
Comments:			
Thank you very much for your help.			
Dr Tom Clutton-Brock, Interventional Procedures Advisory Committee Chair	Professor Carole Longson, D Centre for Health Technology Evaluation.		or,
Jan 2016			

#### **Conflicts of Interest for Specialist Advisers**

- 1 Declarations of interest by Specialist Advisers advising the NICE Interventional Procedures Advisory Committee
- 1.1 Any conflicts of interest set out below should be declared on the questionnaire the Specialist Adviser completes for the procedure.
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# 2 Personal pecuniary interests

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- 2.1.1 **Consultancies** any consultancy, directorship, position in or work for the healthcare industry that attracts regular or occasional payments in cash or kind (this includes both those which have been undertaken in the 12 months preceding the point at which the declaration is made and which are planned but have not taken place).
- 2.1.2 **Fee-paid work** any work commissioned by the healthcare industry for which the member is paid in cash or in kind (this includes both those which have been undertaken in the 12 months preceding the point at which the declaration is made and which are planned but have not taken place).
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- 2.1.5 **Investments** any funds which include investments in the healthcare industry that are held in a portfolio over which individuals have the ability to instruct the fund manager as to the composition of the fund.
- 2.2 No personal interest exists in the case of:
- 2.2.1 assets over which individuals have no financial control (for example, wide portfolio unit trusts and occupational pension funds) and where the fund manager has full discretion as to its composition (for example, the Universities Superannuation Scheme)
- 2.2.2 accrued pension rights from earlier employment in the healthcare industry.

# 3 Personal family interest

- 3.1 This relates to the personal interests of a family member and involves a **current payment** to the family member of the Specialist Adviser. The interest may relate to the manufacturer or owner of a product or service being evaluated, in which case it is regarded as '**specific**', or to the industry or sector from which the product or service comes, in which case it is regarded as '**non-specific**'. The main examples include the following.
- 3.1.1 Any consultancy, directorship, position in or work for a healthcare industry that attracts regular or occasional payments in cash or in kind.
- 3.1.2 Any fee-paid work commissioned by a healthcare industry for which the member is paid in cash or in kind.
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- 3.2.1 assets over which individuals have no financial control (for example, wide portfolio unit trusts and occupational pension funds) and where the fund manager has full discretion as to its composition (for example, the Universities Superannuation Scheme)
- 3.2.2 accrued pension rights from earlier employment in the healthcare industry.

# 4 Personal non-pecuniary interests

These might include, but are not limited to:

- 4.1 a clear opinion, reached as the conclusion of a research project, about the clinical and/or cost effectiveness of an intervention under review
- 4.2 a public statement in which an individual covered by this Code has expressed a clear opinion about the matter under consideration, which could reasonably be interpreted as prejudicial to an objective interpretation of the evidence
- 4.3 holding office in a professional organisation or advocacy group with a direct interest in the matter under consideration
- 4.4 other reputational risks in relation to an intervention under review.

#### 5 Non-personal interests

5.1 A non-personal interest involves payment that benefits a department or organisation for which a Specialist Advisor is responsible, but that is not received by the Specialist Advisor personally. This may either relate to the product or service being evaluated, in which case it is regarded as 'specific,' or to the manufacturer or owner of the product or service, but is unrelated to the matter under consideration, in which case it is regarded as 'non-specific'. The main examples are as follows.

- 5.1.1 **Fellowships** the holding of a fellowship endowed by the healthcare industry.
- 5.1.2 **Support by the healthcare industry or NICE** any payment, or other support by the healthcare industry or by NICE that does not convey any pecuniary or material benefit to a member personally but that does benefit his/her position or department. For example:
- a grant from a company for the running of a unit or department for which a Specialist Advisor is responsible
- a grant, fellowship or other payment to sponsor a post or member of staff in the unit for which a Specialist Adviser is responsible. This does not include financial assistance for students
- the commissioning of research or other work by, or advice from, staff who work in a unit for which the specialist advisor is responsible
- one or more contracts with, or grants from, NICE.
- 5.2 Specialist Advisers are under no obligation to seek out knowledge of work done for, or on behalf of, the healthcare industry within departments for which they are responsible if they would not normally expect to be informed.