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.			
Pleas	se complete and return to: Dec	nee.Stanislaus@nice.org.uk	
Proc	edure Name:	Aortic valve reconstruction with processed bovine pericardium	
Nam	e of Specialist Advisor:	Cesare Quarto	
Spec	cialist Society:	Society for Cardiothoracic Surgery of Great Britain and Ireland	
1	Do you have adequate know	ledge of this procedure to provide advice?	
\boxtimes	Yes.		
	No – please return the form/a	answer no more questions.	
1.1	Does the title used above de	scribe the procedure adequately?	
\boxtimes	Yes.		
	No. If no, please enter any other titles below.		
Com	ments:		
2	Your involvement in the pro	cedure	
2.1	Is this procedure relevant to	your specialty?	
\boxtimes	Yes.		
	Is there any kind of inter-spe	cialty 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.		
	I do this procedure regularly.		
Com	ments:		
As of	August 2017, I have done this 6 times		
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.		
2.2.2	· · · · · · · · · · · · · · · · · · ·		
2.2.2	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		
2.2.2 	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		
	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.		
	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.		
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□ □ □ Com□ □ 2.3	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. ments: 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-		

	Other (please comment)				
Com	Comments:				
3	Status of the procedure				
3.1	Which of the following best describes the procedure (choose one):				
	Established practice and no longer new.				
	A minor variation on an existing procedure, which is unlikely to alter the procedure's safety and efficacy.				
\boxtimes	Definitely novel and of uncertain safety and efficacy.				
	The first in a new class of procedure.				
Com	ments:				
3.2	What would be the comparator (standard practice) to this procedure?				
Aorti	Aortic Valve Replacement				
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.				
	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	ments:				
4	Safety and efficacy				
4.1	What is the potential harm of the procedure?				
Plea					

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

Similar to Aortic Valve Replacement, Death 2-3% Stroke 1-2% Infection including Endocarditis and bleeding

2. Anecdotal adverse events (known from experience)

None from my experience

3. Theoretical adverse events

Early valve failure

4.2 What are the key efficacy outcomes for this procedure?

Larger effective orifice area compared to a standard stented bioprosthsis reproducible procedure.

Can be used in cases where there is a small Aortic root.

Cost effective

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

Good medium term results. Unsure about long term outcome compared to the biological Aortic Valve Replacement as at the moment there are only medium term results available from one surgeons experience (Professor Ozaki)

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

Training with a proctor for the first 4 cases for an Aortic surgeon.

With regard the required facilities you need a routine Cardio Thoracic theatre and Aortic Valve reconstruction Kit

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

There are no trials. The surgeon with the most experience in this procedure is Professor Ozaki even though he utilises autologous pericardium while we use decellularised bovine pericardium but the technique to implant the leaflet is exactly the same.

For reference please find a link to the an abstract below.

https://www.ncbi.nlm.nih.gov/pubmed/25818901

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).

Yes, there was a recent presentation by Professor Ozaki of his results, which have not yet been published, where he explains his results between April 2007 and January 2017 in which he has done 765 patients with an Aortic Valve Reconstruction with autologous pericardium. They show Freedom from reoperation-98.3% 8 yrs (8 pts re-operated on for IE)

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

Awaiting for long term results

5 Audit Criteria

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

Not sure

5.1 Outcome measures of benefit (including commonly used clinical outcomes, both short and long - term; and quality-of-life measures). Please suggest the most appropriate method of measurement for each:

Reduction in patient symptoms eg. Shortness of breath. The way to measure the function of the valve is through a routine ECHO.

5.2 Adverse outcomes (including potential early and late complications). Please state timescales for measurement e.g. bleeding complications up to 1 month post-procedure:

Early: Similar to Aortic Valve Replacement including early valve failure Late: Similar to Aortic Valve Replacement plus longevity of the Aortic Valve

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

Not sure it is a highly specialised area. Fewer than 10 specialists in the UK.

6.2 This procedure, if safe and efficacious, is likely to be carried out in (choose one):			
	Most or all district general hospitals.		
	A minority of hospitals, but at least 10 in the UK.		
\boxtimes	Fewer than 10 specialist centres in the UK.		
	Cannot predict at present.		

Comments:				
	The potential impact of this procedure on the NHS, in terms of numbers ents eligible for treatment and use of resources, is:			
	Major.			
	Moderate.			
\boxtimes	Minor.			
Comm	ents:			

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?

Please find below a link to a video of the procedure (Please note this is from the pharmaceutical company to promote the procedure) https://www.youtube.com/watch?v=SICTY0SNN4c

- 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.

xI 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 family¹ have a **personal pecuniary** interest? The main examples are as follows:

Consultancies or directorships attracting regular or occasional		YES
payments in cash or kind		NO
Fee-paid work – any work commissioned by the healthcare industry – this includes income earned in the course of private practice		YES
		NO
Shareholdings – any shareholding, or other beneficial interest, in shares of the healthcare industry		YES
of the healthcare industry		NO
Expenses and hospitality – any expenses provided by a healthcare industry company beyond those reasonably required for accommodation,		YES
meals and travel to attend meetings and conferences		NO
Investments – any funds that include investments in the healthcare		YES
industry		NO
Do you have a personal non-pecuniary interest – for example have you made a public statement about the topic or do you hold an office in a		YES
professional organisation or advocacy group with a direct interest in the topic?		NO
Do you have a non-personal interest? The main examples are as follows:		
Fellowships endowed by the healthcare industry		YES
	\boxtimes	NO
Support by the healthcare industry or NICE that benefits his/her position or department, eg grants, sponsorship of posts		YES
		NO
If you have answered YES to any of the above statements, please describe the nature of the conflict(s) below.		
Comments:		

¹ '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).

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

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.

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.				
<mark>Plea</mark>	se complete and return to: Dec	onee.Stanislaus@nice.org.uk		
Procedure Name:		Aortic valve reconstruction with processed bovine pericardium		
Nam	e of Specialist Advisor:	Neil Moat		
Spec	cialist Society:	Society for Cardiothoracic Surgery of Great Britain and Ireland		
1	1 Do you have adequate knowledge of this procedure to provide advice?			
XXX	Yes.			
☐ No – please return the form/answer no more questions.				
1.1 Does the title used above describe the procedure adequately?				
xxx	Yes.			
	No. If no, please enter any oth	ner titles below.		
Com	ments:			
2	Your involvement in the pro	cedure		
2.1	Is this procedure relevant to	your specialty?		
xxx	Yes.			
	Is there any kind of inter-spe	cialty controversy over the procedure?		

XXX	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	Comments:				
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:				
XXX	I have never done this procedure.				
	I have done this procedure at least once.				
	I do this procedure regularly.				
Comr	nents:				
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.				
xxx 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.				
Comr	ments:				
	Please indicate your research experience relating to this procedure (please choose one or more if relevant):				
xxx	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.				

	Other (please comment)
Com	ments:
3	Status of the procedure
3.1	Which of the following best describes the procedure (choose one):
	Established practice and no longer new.
	A minor variation on an existing procedure, which is unlikely to alter the procedure's safety and efficacy.
xxx	Definitely novel and of uncertain safety and efficacy.
	The first in a new class of procedure.
Com	ments:
3.2	What would be the comparator (standard practice) to this procedure?
Aorti	c valve replacememt
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.
	10% to 50% of specialists engaged in this area of work.
xxx	Fewer than 10% of specialists engaged in this area of work.
	Cannot give an estimate.
Com	iments:
4	Safety and efficacy
4.1	What is the potential harm of the procedure?
Plea	se list adverse events and major risks (even if uncommon) and, if possible,

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

estimate their incidence, as follows:

Theses would be the same as any AVR

- 2. Anecdotal adverse events (known from experience)
- 3. Theoretical adverse events

Residual AR or impaired short/mid/long term durability

4.2 What are the key efficacy outcomes for this procedure?

Early mortality and short/long term durability of implant

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

YES – uncertain durability and options for re-operation/intervention

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

Need specific training before doing implant

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

NO

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).

Nο

4.7 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.

The procedure should be recorded and auditd through the UKCSR

	5.1 Outcome measures of benefit (including commonly used clinical outcomes, both short and long - term; and quality-of-life measures). Please suggest the most appropriate method of measurement for each:				
as ab	as above				
	Adverse outcomes (including potential early and late complications). e state timescales for measurement e.g. bleeding complications up to 1 n post-procedure:				
as ab	ove				
6	Trajectory of the procedure				
6.1 sprea	In your opinion, how quickly do you think use of this procedure will d?				
Very s	slowly – long term data will be needed before widespread dissemination				
6.2 (choo	This procedure, if safe and efficacious, is likely to be carried out in se one):				
	Most or all district general hospitals.				
	A minority of hospitals, but at least 10 in the UK.				
xxx	Fewer than 10 specialist centres in the UK.				
	Cannot predict at present.				
Comn	nents:				
6.3 The potential impact of this procedure on the NHS, in terms of numbers of patients eligible for treatment and use of resources, is:					
	Major.				
	Moderate.				
xxx	Minor.				
Comments:					
7	Other information				
7.1 NICE	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.

xI 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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Do you or a member of your family¹ have a **personal pecuniary** interest? The main examples are as follows:

Consultancies or directorships attracting regular or occasional payments in cash or kind		YES
	XXX	NO
Fee-paid work – any work commissioned by the healthcare industry – [this includes income earned in the course of private practice		YES
	XXX	NO

¹ '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).

Shareholdings – any shareholding, or other beneficial interest, in shares of the healthcare industry		□ xxx	YES NO
Expenses and hospitality – any expenses provided by a healthcare industry company beyond those reasonably required for			YES
accommodation, meals and travel to attend	meetings and conferences	XXX	NO
Investments – any funds that include investigation	tments in the healthcare		YES
industry		XXX	NO
Do you have a personal non-pecuniary 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			YES
the topic?	ap with a direct interest in	xxx	NO
Do you have a non-personal interest? The	main examples are as follows	3:	
Fellowships endowed by the healthcare industry			YES
		XXX	NO
Support by the healthcare industry or NICE that benefits his/her position or department, eg grants, sponsorship of posts			YES
France 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1		XXX	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 Professor Carole Longson, Director 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

- 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.
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- 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**

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- 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

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.