

# Ethics and Conflict of Interest Procedures for Technical Review Panel Members<sup>1</sup>

April 2017  
Geneva, Switzerland

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<sup>1</sup> Issued by the Technical Review Panel in line with the [Technical Review Panel Terms of Reference](#) Paragraph 5.2 “Technical Review Panel members must abide by the requirements of [the Policy on Ethics and Conflicts of Interest for Global Fund Institutions](#), as amended and restated by the Board from time to time, as well as the additional requirements set out in Ethics and Conflict of Interest Guidelines for Technical Review Panel Members as determined by the Technical Review Panel.” This document sets forth the additional requirements referenced in the Terms of Reference. It replaces and acts as the “Ethics and Conflict of Interest Guidelines for Technical Review Panel Members” referenced in the Terms of Reference, for any additional requirements as referenced in the Technical Review Panel’s Terms of Reference.

## 1. Introduction

- 1.1 The *Ethics and Conflict of Interest Procedures for Technical Review Panel Members* (“Technical Review Panel Conflict of Interest Procedures”) builds upon the *Policy on Ethics and Conflict of Interest for Global Fund Institutions* (“Ethics Policy”), and have the objective of ensuring fairness and a high standard of ethical conduct in the Global Fund’s decision-making to protect the reputation and integrity of the Fund and its interests, and to ensure broad public trust and confidence in the Global Fund’s decision-making and grant making activities.
- 1.2 Technical Review Panel<sup>2</sup> members must abide by the requirements of the *Ethics Policy*, as amended and restated by the Board from time to time, as well as the additional requirements set out in the Technical Review Panel Conflict of Interest Procedures, as may be amended and restated from time to time by the Technical Review Panel. Technical Review Panel members that have not complied with the requirements as stipulated in these documents and signed confidentiality undertakings shall not be eligible to participate in any Technical Review Panel reviews until such requirements have been fulfilled. While the Ethics Policy and these Technical Review Panel Conflict of Interest Procedures are not directly applicable to non-serving Technical Review Panel members (i.e., individuals in the pool not yet called for active service)<sup>3</sup>, activities undertaken while in the pool may limit an individual’s ability to serve on the Technical Review Panel, should they give rise to a strong likelihood of actual, potential or perceived conflicts of interest arising on a regular basis. Additionally, certain provisions of these Procedures continue to apply to individuals after they have concluded service on the Technical Review Panel.
- 1.3 The purpose of these Procedures is to ensure the integrity and consistency of an open and transparent review process by defining conflict of interest and outlining principles, responsibilities and requirements, as well as providing guidance in identifying and addressing actual, potential or perceived conflicts of interest, within the specific context of the Technical Review Panel.
- 1.4 Conflict of Interest Procedures for individuals involved in the selection of new Technical Review Panel members have been included as an Annex to this document to give context to the conflict of interest procedures applicable to those involved in the recruitment and selection process of new Technical Review Panel members.

## 2. Defining Conflict of Interest in the Context of the Technical Review Panel

- 2.1 Generally, a conflict of interest is a situation in which a person has a competing personal, professional or financial interest that could have an actual, potential or perceived effect on that person’s ability to fulfil his or her responsibilities in an objective and independent manner with the best interests of the Global Fund in mind.
- 2.2 In line with the Ethics Policy, a conflict of interest arises when a Technical Review Panel member participates personally and substantially<sup>4</sup> in a Global Fund matter in which, to their knowledge, they or an Associated Person<sup>5</sup> or Associated Institution<sup>6</sup> has a financial, professional or personal interest, if the particular matter may have a direct and predictable effect on that interest.

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<sup>2</sup> Once selected to serve on a review panel, Technical Review Panel members are known as Serving Technical Review Panel members and they are eligible to serve for a maximum of four years from the date of the first in-person review in which they participate.

<sup>3</sup> Defined as individuals who have not yet been called to become Serving Technical Review Panel Members

<sup>4</sup> To participate “personally” means to participate directly or to attempt to influence the outcome of a decision-making process. To participate “substantially” means that the Technical Review Panel member’s involvement is of significance to the matter (Section 2(d) of the Policy on Ethics and Conflict of Interest for Global Fund Institutions).

<sup>5</sup> An “Associated Person” means a spouse, minor child or domestic partner (Section 2(b) of the Policy on Ethics and Conflict of Interest for Global Fund Institutions).

<sup>6</sup> An “Associated Institution” means (i) any organization, corporation or government in which the Technical Review Panel member is serving as an officer, director, trustee, partner or employee that receives or may receive funding from the Global Fund or with which the Global Fund has an agreement, contract, grant or relationship; or any person, organization, corporation, government or similar institution with whom the Technical Review Panel member is negotiating or has arrangement concerning prospective employment (Section 2(c) of the Policy on Ethics and Conflict of Interest for Global Fund Institutions).

### **3. Principles Underlying the Technical Review Panel Conflict of Interest Procedures**

#### **3.1. Independence of all Technical Review Panel members**

- 3.1.1. The Technical Review Panel is an independent, impartial team of experts appointed by the Strategy Committee (in accordance with the delegated authority from the Board) with the responsibility for providing rigorous, independent technical assessment of funding requests made to the Global Fund.
- 3.1.2. The Technical Review Panel ensures the integrity and consistency of an open and transparent review process in line with the principles, mandate and provisions of its terms of reference, or as otherwise requested by the Board or the Strategy Committee.
- 3.1.3. The Technical Review Panel Terms of Reference stipulate that members will not represent their employer, government, or positions of Global Fund partners, and will serve in their personal capacities only.

#### **3.2. Mitigation measures to manage actual, potential or perceived conflict of interest**

- 3.2.1. In order to safeguard independence, impartiality and unbiased decisions, while also taking into consideration the need for Technical Review Panel members to provide country contextual information to support the decision-making process, differentiated risk mitigation measures, including recusal requirements, have been developed for different contexts. These measures are further described below.
- 3.2.2. In cases where the employment or other circumstances of a proposed or current Technical Review Panel member gives rise to a strong likelihood of actual, potential or perceived conflicts of interest arising on a regular basis which may significantly limit his or her ability to effectively perform Technical Review Panel functions (such as due to the need for consistent recusal from a substantial number of reviews of funding requests), the Technical Review Panel Chair in consultation with the Ethics Office, may determine that the individual should not be selected to serve, or should not continue to serve, as a Technical Review Panel member.
- 3.2.3. As poorly managed potential or perceived conflict of interest may cause as much reputational damage as an actual conflict of interest – including anything that could affect the objectivity or independence of Technical Review Panel members in their performance of duties for the Global Fund, or the perception of that independence and objectivity by others, it is essential that members understand the provisions of the Ethics Policy and the Technical Review Panel Conflict of Interest Procedures and ensure they are appropriately meeting the requirements contained in each.

### **4. Conflict of Interest Procedures for Individuals involved in the Selection of Technical Review Panel Members**

- 4.1. As part of ensuring the independence and impartiality of the Technical Review Panel, it is necessary that those involved in the recruitment and selection of Technical Review Panel members remain completely independent and impartial throughout the process and assess each candidate on his or her merits. In order to maintain the integrity of the recruitment and selection process for Technical Review Panel members, all individuals involved in this process must abide by the *Conflict of Interest Procedures for Individuals involved in the Selection of Technical Review Panel Members* (attached as Annex 1).

## **5. Requirements for Disclosure and Recusal in Relation to Actual, Potential or Perceived Conflict of Interest**

### **5.1. Declaration of Interest**

- 5.1.1. Under the *Ethics Policy*, each Technical Review Panel member is required to complete a Declaration of Interest form. The form should be submitted to the Global Fund's Ethics Office prior to commencing work as a Technical Review Panel member.
- 5.1.2. Thereafter, each Technical Review Panel member shall submit an updated Declaration of Interest form to the Ethics Office on an annual basis and whenever there is a material change in the information disclosed in the form.

### **5.2. Additional Disclosure and Recusal Requirements**

- 5.2.1. Throughout the period of membership, all Technical Review Panel Members are responsible for upholding the integrity of the Technical Review Panel and its independence<sup>7</sup>. Technical Review Panel members shall disclose all actual, potential or perceived conflicts of interest to the Technical Review Panel Chair and Vice-Chair(s).
- 5.2.2. Specific disclosure is required prior to each Technical Review Panel review meeting. In advance of each review meeting, participating Technical Review Panel members shall, to the best of their knowledge, provide the following to the Technical Review Panel Chair and the Technical Review Panel Secretariat:
  - a. A list of countries (and disease programs within those countries) where the Technical Review Panel member or his or her employer has assisted in the development process for a funding request to the Global Fund;
  - b. A list of countries (and disease programs) where the Technical Review Panel member or his or her employer has assisted in reviewing or providing other technical assistance in connection with a national HIV, Tuberculosis, or Malaria program review and the nature of such assistance, including partaking in any Joint Assessment of National Strategy ("JANS") or review and development of National Strategic Plans ("NSP") for the respective disease program in the past three years;
  - c. A list of countries where the Technical Review Panel member or his or her employer may be a potential beneficiary of funding (e.g. nominated as Principal Recipient, Sub-Recipient, Local Fund Agent or listed as a technical assistance provider);
  - d. A list of countries in which the Technical Review Panel member has taken part in Global Fund Office of the Inspector General ("OIG") audits or investigations in the past three years;
  - e. A list of countries where the Technical Review Panel member is a citizen or resident, currently lives or has lived for more than one year in the past three years; and
  - f. A list of countries where the Technical Review Panel member has significant links which may result in a potential conflict to a particular country that are not otherwise covered above.
- 5.2.3. At the opening of each Technical Review Panel meeting, all Technical Review Panel members shall reaffirm the principles of the Ethics Policy and these Technical Review Panel Conflict of Interest Procedures. Technical Review Panel members shall use this opportunity to declare any actual, potential or perceived conflicts of interest not previously disclosed to the Technical Review Panel Chair and Vice-Chair(s).

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<sup>7</sup> Terms of Reference of the Technical Review Panel, Paragraph 5.2 Technical Review Panel members shall uphold the integrity of the Technical Review Panel and its independence.

- 5.2.4. Technical Review Panel members must recuse themselves from the review of any funding requests or other matters where they have an interest, affiliation or other factors that may create an actual, potential or perceived conflict of interest as further specified and qualified in these Procedures.
- 5.2.5. If there is any ambiguity as to whether an actual, potential or perceived conflict exists, the Technical Review Panel Chair will refer the matter to the Ethics Office<sup>8</sup>. If it is determined by the Chair and the Ethics Office that an actual, potential or perceived conflict of interest does exist, they will propose appropriate mitigation measures which may include recusal from a specific funding request review or other Technical Review Panel -related work, as needed.
- 5.2.6. If a Technical Review Panel member is requested to take on new activities or employment opportunities that may create an actual, potential or perceived conflict of interest with respect to their responsibilities on the Technical Review Panel, they must disclose it to the Chair and Vice-Chair(s) in writing prior to taking on such activities. In response, the Chair may consult with the Ethics Office in reaching a decision to i) allow the member to continue serving on the Panel, while undertaking these new activities or employment opportunity, with risk mitigation measures in place; or ii) request that the member stand down from engaging in this new activity or employment opportunity while continuing to serve on the Technical Review Panel.

## **6. Ethics and Conflict of Interest Guidance – High-level Summary of Potential Contexts and Situations**

- 6.1. Not all significant factors that may create an actual, potential or perceived conflict of interest can be identified in these procedures. **The examples provided below are not exhaustive and each conflict of interest declaration will be handled on a case-by-case basis.** Therefore, it is the responsibility of the relevant Technical Review Panel member to bring to the attention of the Chair and Vice-Chair(s) any significant links that may give rise to an actual, potential or perceived conflict.
- 6.2. As noted earlier in these procedures, there may be cases where the employment or other circumstances of a proposed or current Technical Review Panel member gives rise to a strong likelihood of actual, potential or perceived conflicts of interest arising on a regular basis, which may significantly limit his or her ability to effectively perform Technical Review Panel functions. In these situations, including the following examples, the Technical Review Panel Chair in consultation with the Ethics Office, may determine that the individual should not be selected to serve, or should not continue to serve, as a Technical Review Panel member:
- a. The Technical Review Panel member's (or proposed member's) main professional responsibilities are directly linked to the development of funding applications to the Global Fund; and
  - b. The Technical Review Panel member (or proposed member) is employed by an organization that provides direct technical assistance to Global Fund applicants or implementers, or is otherwise a potential beneficiary of Global Fund funding, across multiple regions or countries.
- 6.3. A conflict of interest **requiring a Technical Review Panel member's full recusal from participating in the assessment of a specific funding request, including in the plenary session**, may arise if:
- a. The Technical Review Panel member has been involved in the development process of that funding request;
  - b. The Technical Review Panel member is employed by a government, corporation or organization that has assisted in the development process of that funding request (including providing technical assistance funding); or

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<sup>8</sup> Terms of Reference of the Technical Review Panel, Paragraph 5.4: Throughout the period of membership on the Technical Review Panel, Serving Technical Review Panel members shall disclose all actual, potential or perceived conflicts of interest to the Technical Review Panel Chair and recuse themselves, or may be required by the Technical Review Panel Chair to recuse themselves, from review of particular funding requests or other Technical Review Panel work. The matter will be referred to the Ethics Officer if the Technical Review Panel Chair determines there is any ambiguity regarding actual, potential or perceived conflicts of interest.

- c. The Technical Review Panel member may be a potential beneficiary or is employed by an organization which may be a beneficiary of funding from the Global Fund in connection with that funding request, if it is approved (e.g. as a Principal Recipient, Sub-Recipient, Local Fund Agent, or technical assistance provider); or
  - d. The Technical Review Panel member is a national of the country that has applied for funding as either a single or a multi-country applicant.
- 6.4. A conflict of interest requiring a Technical Review Panel member's recusal from decision-making (i.e., participation in small group review of funding requests) but allowing the Technical Review Panel member to engage in the plenary discussions and sub-plenary deliberations to provide contextual information to leverage their in-country and regional knowledge but without allowing for their participating in the decision making for the relevant funding request, may arise where:
- a. The Technical Review Panel member is a resident of a country that has applied for funding either as a single or multi-country applicant.
  - b. The Technical Review Panel member took part in any Office of the Inspector General audit or investigation of Global Fund grants or implementers during the past three years in a country that has applied for funding as either a single or multi-country applicant ; or
  - c. The Technical Review Panel member participated in a country's Joint Assessment of National Strategy (JANS), National Strategic Plan (NSP) for the respective disease program or assisted in connection with a review of the national program for the country disease program under review in the last three years.
- 6.5. The Technical Review Panel Chair and Vice Chairs are responsible for overseeing the plenary discussions described in paragraph 6.4 to ensure that any actual, potential or perceived conflicts of interest do not compromise the independence of the decision-making process.
- 6.6. If the circumstances described above arise, the Technical Review Panel Chair may consult with the Ethics Office in order to provide guidance to the Technical Review Panel member regarding whether the member should recuse themselves from the review and decision making of the relevant funding request, and whether they, under the oversight of the Technical Review Panel Chair, can provide contextual information to leverage their in-country and regional knowledge in the plenary and sub-plenary deliberations without participating in the decision making for the relevant funding request.

## 7. Consequence Management

- 7.1. If a Technical Review Panel member does not comply with the requirements contained in the Ethics Policy or these Technical Review Panel Conflict of Interest Procedures, including the specific restrictions set forth in Section 6 above, the non-compliance will be reviewed and addressed by the Technical Review Panel Chair and Vice-Chair(s), with the assistance of the Ethics Office. Remedial actions will be determined on a case-by-case basis, but such actions may include a Technical Review Panel member being asked to cease serving on the Technical Review Panel.

## 8. Specific Restrictions for Serving Technical Review Panel Members and for Former Technical Review Panel Members

- 8.1. Technical Review Panel members must abstain from assisting countries to develop funding requests to the Global Fund, including participation in any proposal development workshops or "mock-Technical Review Panel" reviews. To ensure independence and avoid actual, potential or perceived conflicts of interest during the terms of service, this restriction on assisting countries to develop funding requests shall apply to both serving Technical Review Panel members and former Technical Review Panel members **during a one year 'cooling off' period** after they have completed their service to the Technical Review Panel.<sup>9</sup>

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<sup>9</sup> Completion commences from finalization of all Technical Review Panel clarifications for the last funding channel upon which the Technical Review Panel member served as a proposal reviewer.

- 8.2. As noted earlier in these procedures (6.4), a Technical Review Panel member may participate in national or sub-national program reviews, in a country's Joint Assessment of National Strategy (JANS), reviews of National Strategic Plans (NSPs) for the respective disease program reflecting on the entire program and making recommendations to the program as a whole on a limited basis, per calendar year, if the relevant member wishes to engage in Technical Review Panel related assignments in the same year.<sup>10</sup> Technical Review Panel member may be asked to abstain from participating in providing technical assistance in connection with national HIV, tuberculosis, or malaria programs in the event that it is likely that their work will be substantially and directly used in the development of the funding request to the Global Fund. Technical Review Panel members having participated in a program or national strategy review will recuse themselves from the review of the funding request for that component but may be asked to share relevant country contextual information to the Technical Review Panel plenary discussions without participating in the final decision.
- 8.3. A Technical Review Panel member may participate in Office of the Inspector General and its or investigations in a maximum of two countries per calendar year if the relevant member wishes to engage in Technical Review Panel related assignments in the same year. The Technical Review Panel member must disclose this information to the Chair and Vice Chair(s) and recuse themselves from the review of funding requests for the relevant country/countries where they have provided country-specific consultancy for the Office of the Inspector General in the past three years.
- 8.4. The Technical Review Panel Terms of Reference do not expressly preclude members from performing consulting services for the Global Fund (including the Secretariat, the Office of the Inspector General or the Technical Evaluation and Reference Group) in their personal capacities. However, prior to performing any such services for the Global Fund, members are required to inform the Technical Review Panel Chair of their intention to do so. The Chair will then consider whether the performance of such services would have an actual or perceived effect on their independence of the Technical Review Panel and whether any measures should be put in place to safeguard the actual or perceived independence of the Technical Review Panel. The Technical Review Panel Chair may refer the matter to the Ethics Office and/or the Ethics and Governance Committee for guidance.
- 8.5. Technical Review Panel members who are involved in a particular funding request review process (in the small review groups), must refrain from participating in the grant negotiation or program implementation process for these funding applications, while serving on the Technical Review Panel and after the end of their term of service, for the lifecycle of the resulting grant.

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<sup>10</sup> Technical Review Panel member is required to seek preliminary approval from the Technical Review Panel Chair prior to engaging in activities with potential risk of conflict of interest, for example, national or sub-national program assessments or reviews which are, in many countries, undertaken to inform their ensuing Global Fund funding application.

## Annex 1:

### Conflict of Interest Procedures for Individuals Involved in the Selection of Technical Review Panel Members

#### RECRUITMENT AND SELECTION PROCESS:

1. The recruitment of Technical Review Panel members is managed by the Strategy Committee through an open, transparent, and criteria-based process.
2. On behalf of the Strategy Committee, the Secretariat also invites Board constituencies, lead technical partners (including UNAIDS, the Stop TB Partnership and the Roll Back Malaria Partnership), World Health Organization's technical advisory clusters and programs, and Technical Review Panel members to solicit applications from appropriately qualified independent experts.
3. As part of providing guidance and oversight over the recruitment of new Technical Review Panel members, the Strategy Committee may establish a sub-working group to manage the Technical Review Panel recruitment and selection process ("the **Selection Panel**").
4. The Selection Panel in turn may establish sub-working groups to manage the Technical Review Panel selection process for key areas of expertise required on the Technical Review Panel (collectively, "the **Shortlist Panels**") including for HIV, TB, Malaria, Strategic Investment and Sustainable Financing, Human Rights and Gender, and Resilient and Sustainable Systems for Health comprised of a representative from the Technical Review Panel, the Global Fund Secretariat and individuals from technical partner organizations as endorsed by the Selection Panel.
5. Applications to become a member of the Technical Review Panel are typically screened by an external contractor ("the **Screening Panel**"), a long-list is prepared by the external contractor after the screening process. The Long list is then presented to expertise-specific Shortlist Panels comprised of selected TRP Experts and respective Technical Partners (e.g. WHO departments together with UNAIDS, the Stop TB Partnership and the Roll Back Malaria Partnership) for review.
6. Each Shortlist Panel then evaluates the long-listed applications and develops its final recommendations to the Selection Panel, based on the criteria set out in the Technical Review Panel Terms of Reference as well as the Technical Review Panel membership profile developed for the Technical Review Panel recruitment purposes. In addition, the Shortlist Panel also considers any known conflict-of-interest considerations applicable to all candidates.
7. In particular, the Shortlist Panel considers whether the employment or other circumstances of an applicant give rise to a strong likelihood of actual, potential or perceived conflicts of interests arising on a regular basis (such as an applicant being employed by an organization that provides direct technical assistance to Global Fund applicants or implementers, or is otherwise a potential beneficiary of Global Fund funding, across multiple regions or countries). If there is a strong likelihood of such conflicts arising regularly, the Shortlist Panel may determine that the candidate would have to be recused from so many reviews of funding requests that he or she could not participate effectively as a Technical Review Panel member and therefore should not be selected as a Technical Review Panel Member.
8. Recommended shortlisted Technical Review Panel candidates will be submitted to the Selection Panel for review and finalization.
9. Technical Review Panel members are appointed by the Strategy Committee.



## **MANAGING CONFLICT OF INTEREST:**

10. All individuals involved in the recruitment and selection of Technical Review Panel Members must comply with the principles established in the *“Policy on Ethics and Conflict of Interest Procedures for Global Fund Institutions (‘Ethics Policy’)*. Key features of the Ethics Policy as applied to the Technical Review Panel Member recruitment and selection process are summarized below.

### **11. *Conflict of interest in the context of Technical Review Panel Member recruitment and selection:***

(a) Generally, a conflict of interest is a situation in which a person has a competing personal, professional or financial interest that could have an actual, potential or perceived effect on that person’s ability to fulfil his or her responsibilities in an objective and independent manner with the best interests of the Global Fund in mind

(b) With regard to the recruitment and selection of Technical Review Panel members, a conflict of interest **may** arise if an individual involved in the recruitment and selection process of Technical Review Panel Members:

- has a direct family relationship with a candidate;
- has a past or present working relationship with a candidate within the past three years (for example, employer, employee, or co-worker);
- works, or is currently applying for employment with, a candidate or an organization at which a candidate is affiliated;
- is affiliated with an entity that has a business relationship with a candidate or a candidate’s employer (for example, a supplier of goods or health products); or
- has any other relationship or status which could, or be perceived to, influence the objectivity of the individual assessing a candidate or have a direct and predictable effect on the candidate being selected to be a Technical Review Panel member.

(c) The Technical Review Panel Terms of Reference stipulate that Technical Review Panel members will not represent their employer, government, or positions of Global Fund partners, and will serve in their personal capacities only.<sup>11</sup> Therefore, a Technical Review Panel member will personally receive an honorarium for their services, rather than an amount being paid to his or her employer. Accordingly, a situation will not arise where an Associated Institution<sup>12</sup> of an individual involved in the selection and recruitment of Technical Review Panel members will financially benefit from that individual’s involvement in the process. Notwithstanding this, it is important to also apply the safeguards to ensure independence and impartiality of the Technical Review Panel as set forth herein.

### **12. *Mandatory disclosure of actual, potential, or perceived conflicts of interest:***

(a) All individuals involved in the recruitment and selection process for Technical Review Panel members must disclose the existence of an actual, potential, or perceived conflict of interest whenever he or she becomes aware that a conflict of interest exists or is likely to occur with respect to the recruitment and selection of Technical Review Panel members. This disclosure should be made to the Chair of the

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<sup>11</sup> Paragraph 3.1 of the Technical Review Panel Terms of Reference. The Technical Review Panel is a pool of experts from which members are drawn to serve on a review panel. Technical Review Panel members serve in their personal and professional capacities and do not represent their employer, government or any other entity.

<sup>12</sup> Section 2(c) of the Ethics Policy states: Associated Institution means (i) any organization, corporation or government in which a Covered Individual is serving as an officer, director, trustee, partner or employee, that receives or may receive funding from the Fund or with which the Fund has an agreement, contract, grant or relationship; or (ii) any person, organization, corporation, government or similar institution with whom a Covered Individual is negotiating or has an arrangement concerning prospective employment.

Shortlist and Selection Panels, as applicable, who will seek input from the Global Fund's Ethics Official as needed.

- (b) The disclosing party will/may be required to recuse themselves in line with provisions below.

### **ENSURING THE INDEPENDENCE AND IMPARTIALITY OF SELECTION PARTICIPANTS:**

13. To ensure the independence and impartiality of the Technical Review Panel, it is necessary to ensure that those involved in the recruitment and selection process for Technical Review Panel members<sup>13</sup> remain completely independent and impartial throughout the process and assess each candidate on his or her merits. To help ensure this independence and impartiality, all individuals involved in the recruitment and selection process must abide by the following procedure:
- (a) Before commencing their participation in the recruitment and selection process, members of the Screening, Shortlisting and Selection Panels<sup>14</sup> must sign and submit an *Independence and Confidentiality Undertaking Form*.
  - (b) During the recruiting and selection process, members of the Screening, Shortlisting and Selection Panels must disclose to the Chair of the applicable panel if any applications received for review have been submitted by an Associated Person<sup>15</sup> or an individual who works for an Associated Institution<sup>16</sup> (as defined above) or has any other strong links that could or could be perceived to have an impact on objectivity of the panel member as soon as they become aware of such fact.
14. If a member of the Screening, Shortlisting and/or Selection Panels makes a disclosure under paragraph 13(b), above, the following procedures shall apply:
- (a) For Screening Panel members, such person will recuse himself or herself from the review and discussion on the particular candidate.
  - (b) For the Shortlisting and Selection Panel members, such person will recuse himself or herself from making any recommendations or participating in decision-making as to whether such applicant should be recommended for the shortlist or as a Technical Review Panel Member. Except otherwise specified by the Chair of the relevant panel, the relevant member may participate in discussions regarding the technical qualifications of the applicant in question.

The purpose of the procedure described herein is to safeguard against the risk or perception that the selection of Technical Review Panel members has been undertaken by individuals who are not completely independent and impartial, or by those who may be seeking to influence the composition of the Technical Review Panel in the interest of an Associated Institution.

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<sup>13</sup> The principles set below also apply to the Technical Review Panel focal points who are involved in short-listing process and experts from the external company involved in the screening/short-listing process

<sup>14</sup> Panel involved in the process of reviewing applications from potential Technical Review Panel candidates in order to select the most qualified to be selected as Technical Review Panel Members.

<sup>15</sup> An "Associated Person" means a spouse, minor child or domestic partner (Section 2(b) of the Policy on Ethics and Conflict of Interest for Global Fund Institutions).

<sup>16</sup> An "Associated Institution" means (i) any organization, corporation or government in which the Technical Review Panel member is serving as an officer, director, trustee, partner or employee that receives or may receive funding from the Global Fund or with which the Global Fund has an agreement, contract, grant or relationship; or any person, organization, corporation, government or similar institution with whom the Technical Review Panel member is negotiating or has arrangement concerning prospective employment (Section 2(c) of the Policy on Ethics and Conflict of Interest for Global Fund Institutions).