



Brussels, 30.5.2016
C(2016) 3301 final

ANNEXES 1 to 8

ANNEXES

to the

Commission Decision of 30.5.2016

establishing horizontal rules on the creation and operation of Commission expert groups

ANNEX 1

Standard Commission Decision setting up an expert group

COMMISSION DECISION

setting up the group of experts on [name of group]

(20../.../EC)

THE EUROPEAN COMMISSION,

Having regard to the Treaty on the Functioning of the European Union,

Whereas:

- (1) [Article X of the Treaty assigned the Union and the Member States the task of ensuring that [...].]¹
- (2) With a view to [...], [in accordance with the Communication from the Commission entitled [...]/White Paper from the Commission entitled [...]/Green Paper from the Commission entitled [...].]², the Commission needs to call upon the expertise of specialists in an advisory body.
- (3) It is therefore necessary to set up a group of experts in the field of [...] and to define its tasks and its structure.
- (4) The group should help to develop [...];
- (5) The group should be composed of [...];
- (6) Rules on disclosure of information by members of the group should be laid down.
- (7) Personal data should be processed in accordance with Regulation (EC) No 45/2001 of the European Parliament and of the Council³.
- (8) [Decision [...]/.../...] should be repealed]⁴.
- (9) [It is appropriate to fix a period for the application of this Decision. The Commission will in due time consider the advisability of an extension]⁵,

¹ To be inserted as required.

² To be inserted as required.

³ Regulation (EC) No 45/2001 of the European Parliament and of the Council of 18 December 2000 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data (OJ L 8, 12.1.2001, p. 1).

⁴ To be inserted as required.

⁵ To be inserted as required.

HAS DECIDED AS FOLLOWS:

Article 1

Subject matter

The group of experts on [name of group], (“the group”), is set up.

Article 2

Tasks⁶

The group’s tasks shall be:

- (a) to assist the Commission in the preparation of legislative proposals/policy initiatives in the field of [...];
- (b) to assist the Commission in the preparation of delegated acts;
- (c) to establish cooperation/coordination between the Commission and Member States or stakeholders on questions relating to the implementation of Union legislation, programmes and policies in the field of [...];
- (d) to assist the Commission in the early preparation of implementing acts, before submission to the committee in accordance with Regulation (EU) N°182/2011;
- (e) to bring about an exchange of experience and good practice in the field of [...].

Article 3

Consultation

- 1. The Commission may consult the group on any matter relating to [...]⁷.
- 2. [The Chairperson of the group may advise the Commission to consult the group on a specific question.]⁸

Article 4

Membership

- 1. The group shall be composed of [...] members.

⁶ This list may be adapted as required, in compliance with the horizontal rules.

⁷ To be filled in as required.

⁸ To be inserted for groups which are not chaired by the Commission.

2. Members shall be individuals appointed in a personal capacity [...] / Members shall be individuals appointed to represent a common interest [...] / Members shall be organisations [...] / Members shall be Member States' authorities [...] / Members shall be other public entities [...]⁹.
3. Members appointed in a personal capacity shall act independently and in the public interest / Members appointed to represent a common interest shall not represent an individual stakeholder, but a policy orientation common to different stakeholder organisations¹⁰.
4. Member States' authorities/organisations/other public entities shall nominate their representatives [...] ¹¹ and shall be responsible for ensuring that their representatives provide a high level of expertise.
5. Members who are no longer capable of contributing effectively to the expert group's deliberations, who, in the opinion of the Commission department concerned, do not comply with the conditions set out in Article 339 of the Treaty on the Functioning of the European Union or who resign, shall no longer be invited to participate in any meetings of the group and may be replaced for the remainder of their term of office.

Article 5

Selection process

1. The selection of the group's members shall be carried out *via* a public call for applications, to be published on the Register of Commission expert groups and other similar entities ('the Register of expert groups')¹². In addition, the call for applications may be published through other means, including on dedicated websites¹³. The call for applications shall clearly outline the selection criteria, including the required expertise [and the interests to be represented¹⁴] in relation to the work to be performed. The minimum deadline for applications shall be four weeks.
2. Individuals applying to be appointed as members of the group in a personal capacity shall disclose any circumstances that could give rise to a conflict of interest. In particular, the Commission shall require those individuals to submit a declaration of interests ('DOI') form on the basis of the standard DOI form for expert groups¹⁵,

⁹ To be inserted as required

¹⁰ To be inserted as required.

¹¹ To be inserted as required. Provision may be made for the Commission or its departments to refuse the nomination by an organisation of a representative if they consider this nomination inappropriate, which should be justified in the light of the requirements specified in the decision setting up the expert group and/or in the call for applications. In such case, the organisation concerned shall be asked to appoint another representative. See Art. 9.3 of the horizontal rules.

¹² Calls for applications are not used to select Member States' authorities and other public entities, as well as representative bodies established by Union legislation for advice in specific areas. See Art. 10.1 of the horizontal rules.

¹³ To be inserted as required.

¹⁴ This is only relevant for individuals appointed to represent a common interest and member organisations.

¹⁵ See Article 11 of the horizontal rules and Annex 4.

together with an updated *curriculum vitae* (CV), as part of their application. Submission of a duly completed DOI form shall be necessary in order to be eligible to be appointed as a member in a personal capacity. The conflict of interest assessment shall be performed in compliance with the Commission's horizontal rules on expert groups ('the horizontal rules')^{16, 17}.

3. Registration in the Transparency Register is required in order for individuals representing a common interest / organisations to be appointed¹⁸.
4. The members of the group shall be appointed by the Commission/the Director General of DG [...] ¹⁹ from specialists with competence in the areas referred to in Article 2 and Article 3.1 and who have responded to the call for applications.
5. Members shall be appointed for [...] years. They shall remain in office until replaced/until the end of their term of office²⁰. Their term of office may be renewed²¹.
6. [The Commission/DG [...] shall appoint alternate members, in accordance with the same conditions as members, who shall automatically replace any members who are absent or indisposed.]²²
7. [The Commission/DG [...] shall establish a reserve list of suitable candidates that may be used to appoint members' replacements. The Commission/DG [...] shall ask applicants for their consent before including their names on the reserve list.]²³

Article 6

Chair

[The group shall be chaired by a representative of the Commission/ [DG (...)] / [The Commission / DG (...) shall appoint the Chairperson of the group] / [The group shall elect a Chairperson from amongst its members by simple majority].²⁴

¹⁶ Idem

¹⁷ This paragraph is only relevant for individuals applying to be appointed in a personal capacity.

¹⁸ To be inserted as required.

¹⁹ To be deleted as required.

²⁰ To be deleted as required.

²¹ To be inserted as required.

²² To be inserted as required. According to the horizontal rules, appointing alternate members is not mandatory, see Article 10.8. Alternates may be appointed in relation to individuals appointed in a personal capacity and individuals representing a common interest.

²³ To be inserted as required. According to the horizontal rules, establishing a reserve list is not mandatory, see Article 10.9. However, DGs are encouraged to establish such a list, in order to ensure continuity and the smooth functioning of the group. In particular, a reserve list allows for replacements without having to launch a new call for applications.

²⁴ To be deleted as required.

Article 7

Operation

1. The group shall act at the request of DG [...] / The group shall act at the request of its chairman with the agreement of DG [...] ²⁵, in compliance with the horizontal rules ²⁶.
2. Meetings of the group shall, in principle, be held on Commission premises.
3. DG [...] shall provide secretarial services. Commission officials from other departments with an interest in the proceedings may attend meetings of the group [and its sub-groups] ²⁷.
4. In agreement with DG [...], the group may, by simple majority of its members, decide that deliberations shall be public.
5. Minutes on the discussion on each point on the agenda and on the opinions delivered by the group shall be meaningful and complete. Minutes shall be drafted by the secretariat under the responsibility of the Chair.
6. The group shall adopt its opinions, recommendations or reports by consensus. [In the event of a vote, the outcome of the vote shall be decided by simple majority of the members. Members who have voted against shall have the right to have a document summarising the reasons for their position annexed to the opinions, recommendations or reports.] ²⁸

Article 8

Sub-groups

1. The Commission/DG [...] may set up sub-groups for the purpose of examining specific questions on the basis of terms of reference defined by the Commission / DG [...]. Sub-groups shall operate in compliance with the horizontal rules and shall report to the group. They shall be dissolved as soon as their mandate is fulfilled.
2. The members of sub-groups that are not members of the group shall be selected via a public call for applications, in compliance with Article 5 and the horizontal rules ²⁹.

²⁵ To be deleted as required

²⁶ See Article 13.1 of the horizontal rules.

²⁷ To be inserted as required.

²⁸ To be inserted if it is foreseen that the group may vote in the absence of a consensus.

²⁹ See Articles 10 and 14.2 of the horizontal rules.

Article 9

Invited experts

DG [...] may invite experts with specific expertise with respect to a subject matter on the agenda to take part in the work of the group or sub-groups on an ad hoc basis.

Article 10

Observers

1. Individuals/organisations/public entities³⁰ may be granted an observer status, in compliance with the horizontal rules, by direct invitation/as a result of a call for applications³¹.
2. Organisations/public entities³² appointed as observers shall nominate their representatives.
3. Observers and their representatives may be permitted by the Chair to take part in the discussions of the group and provide expertise. However, they [shall not have voting rights]³³ and shall not participate in the formulation of recommendations or advice of the group.

Article 11

Rules of procedure

On a proposal by and in agreement with DG [...] the group shall adopt its rules of procedure by simple majority of its members, on the basis of the standard rules of procedure for expert groups, in compliance with the horizontal rules³⁴.

Article 12

Professional secrecy and handling of classified information

The members of the group [and their representatives, as well as invited experts and observers]³⁵, are subject to the obligation of professional secrecy, which by virtue of the Treaties and the rules implementing them applies to all members of the institutions and their staff, as well as to the Commission's rules on security regarding the protection of Union classified information, laid down in Commission Decisions (EU, Euratom) 2015/443³⁶ and

³⁰ To be inserted as required.

³¹ To be inserted as required.

³² To be inserted as required.

³³ To be inserted if vote is foreseen.

³⁴ See Article 17 of the horizontal rules.

³⁵ To be inserted as required.

³⁶ Commission Decision (EU, Euratom) 2015/443 of 13 March 2015 on Security in the Commission (OJ L 72, 17.3.2015, p. 41).

2015/444³⁷. Should they fail to respect these obligations, the Commission may take all appropriate measures.

Article 13

Transparency³⁸

1. The group [and sub-groups]³⁹ shall be registered in the Register of expert groups.
2. As concerns the group composition, the following data shall be published on the Register of expert groups:
 - (a) the name of individuals appointed in a personal capacity;
 - (b) the name of individuals appointed to represent a common interest; the interest represented shall be disclosed;
 - (c) the name of member organisations; the interest represented shall be disclosed;
 - (d) the name of other public entities;
 - (e) the name of observers;
 - (f) the name of Member States' authorities⁴⁰;
 - (g) the name of third countries' authorities⁴¹;
 - (h) the name of [organisations' representatives/ Member States' representatives/ other public entities representatives...]⁴².
3. All relevant documents, including the agendas, the minutes and the participants' submissions, shall be made available either on the Register of expert groups or *via* a link from the Register to a dedicated website, where this information can be found. Access to dedicated websites shall not be submitted to user registration or any other restriction. In particular, the agenda and other relevant background documents shall be published in due time ahead of the meeting, followed by timely publication of minutes. Exceptions to publication shall only be foreseen where it is deemed that

³⁷ Commission Decision (EU, Euratom) 2015/444 of 13 March 2015 on the security rules for protecting EU classified information (OJ L 72, 17.3.2015, p. 53).

³⁸ To be adapted as required, in compliance with Articles 22-26 of the horizontal rules. Individuals who do not wish to have their names disclosed may submit a request to DG [...] for a derogation from this rule. A derogation shall be granted where justified on compelling legitimate grounds in relation to the specific situation of the individual, in particular where disclosure of the experts' name could endanger their security or integrity

³⁹ To be inserted as required.

⁴⁰ To be inserted as required. According to the horizontal rules, it is not mandatory to publish the name of the Member States' authorities, see Article 23.1 (c).

⁴¹ To be inserted as required. According to the horizontal rules, it is not mandatory to publish the name of the third countries' authorities see Article 23.1 (c).

⁴² To be inserted as required. According to the horizontal rules, it is not mandatory to publish the name of these representatives, see Article 23.1 (d).

disclosure of a document would undermine the protection of a public or private interest as defined in Article 4 of Regulation (EC) N° 1049/2001⁴³.

Article 14

Meeting expenses⁴⁴

1. Participants in the activities of the group [and sub-groups]⁴⁵ shall not be remunerated for the services they offer.
2. Travel and subsistence expenses incurred by participants in the activities of the group [and sub-groups]⁴⁶ shall be reimbursed by the Commission⁴⁷. Reimbursement shall be made in accordance with the provisions in force within the Commission and within the limits of the available appropriations allocated to the Commission departments under the annual procedure for the allocation of resources.

Article 15 ⁴⁸

Repeal

Decision [.../.../EC]⁴⁹ is repealed.]

Article 16

Applicability

This Decision shall apply until [...].

Done at Brussels, [...]

For the Commission

[name of the Member of the Commission]

Member of the Commission

⁴³ These exceptions are intended to protect public security, military affairs, international relations, financial, monetary or economic policy, privacy and integrity of the individual, commercial interests, court proceedings and legal advice, inspections/investigations/audits and the institution's decision-making process.

⁴⁴ According to the horizontal rules, it is not mandatory to reimburse expenses, see Article 20.

⁴⁵ To be inserted as required.

⁴⁶ To be inserted as required.

⁴⁷ According to the horizontal rules, reimbursement of expenses is not mandatory, see C(2016) 3301, Article 20.

⁴⁸ To be inserted as required.

⁴⁹ Reference to be inserted in case of an existing Commission Decision to be repealed.

ANNEX 2

Standard call for applications for the selection of expert group members

CALL FOR APPLICATIONS FOR THE SELECTION OF MEMBERS OF THE EXPERT GROUP/SUB GROUP [...] ¹

1. Background

[By decision of [...], the Commission has set up a group of experts [...] ² / [DG [...] has set up a group of experts] ³ (“the group”).

The group’s tasks shall be to [...].

The Commission is calling for applications with a view to selecting members of the group [other than Member States' authorities/other public entities] ⁴.

2. Features of the Group

2.1. COMPOSITION

[In accordance with Article [...] of the above Decision] ⁵ the group shall consist of [up to] [...] members.

Members shall be individuals appointed in a personal capacity [...] / Members shall be individuals appointed to represent a common interest [...] / Members shall be organisations [...] / Members shall be Member States' authorities [...] / Members shall be other public entities [...] ⁶.

Members appointed in a personal capacity shall act independently and in the public interest / members appointed to represent a common interest shall not represent an individual stakeholder, but a policy orientation common to different stakeholder organisations [...] ⁷.

Member States' authorities/organisations/other public entities shall nominate their representatives [...] ⁸ and shall be responsible for ensuring that their representatives provide a high level of expertise. The Commission/DG [...] may refuse the nomination of a representative by an organisation if it considers this nomination inappropriate in light of the requirements specified in chapter 4 of this call / in Article [...] of the Commission decision

¹ The level of details provided in the call for applications may be adapted, in particular depending whether the group has been set up through a Commission decision to which reference can be made.

² Decision [.../.../...]. To be inserted when the call relates to a formal group, i.e. a group set up by a Commission decision.

³ To be inserted when the call relates to an informal group, i.e. a group set up at the level of the DG.

⁴ To be inserted only if Member States' authorities or other public entities are members of the group in question.

⁵ To be inserted only if the group has been set up via a Commission decision.

⁶ To be inserted as required

⁷ To be inserted as required.

⁸ To be inserted as required.

setting up the group [...] ⁹. In such case, the organisation concerned shall be asked to appoint another representative.

2.2. APPOINTMENT

Members shall be appointed by the Commission / the Director General ¹⁰ of DG [...] from applicants complying with the requirements referred to in chapter 4 of this call / referred to in Article [...] of the Commission decision [...] ¹¹.

Members shall be appointed for [...] years. They shall remain in office until replaced / until the end of their term of office ¹². Their term of office may be renewed ¹³.

Registration in the Transparency Register is required in order for individuals representing a common interest / organisations to be appointed ¹⁴.

The Commission/DG [...] shall appoint alternate members, in accordance with the same conditions as members, who shall automatically replace any members who are absent or indisposed ¹⁵.

In order to ensure continuity and the smooth functioning of the group, the Commission/DG [...] shall establish a reserve list of suitable candidates that may be used to appoint replacements. The Commission/ DG [...] shall ask applicants for their consent before including their names on the reserve list. ¹⁶

Members who are no longer capable of contributing effectively to the group's deliberations, who in the opinion of DG [...] do not comply with the conditions set out in Article 339 of the Treaty on the functioning of the European Union or who resign, shall no longer be invited to participate in any meetings of the group and may be replaced for the remainder of their term of office.

2.3 RULES OF ENGAGEMENT AND OPERATION OF THE GROUP ¹⁷

The group shall be chaired by a representative of the Commission/ DG [...] / The Commission / DG [...] shall appoint the Chairperson of the group / The group shall elect a Chairperson from amongst its members by simple majority of its members. ¹⁸

⁹ To be adapted as required.

¹⁰ To be deleted as required.

¹¹ To be inserted as required.

¹² To be deleted as required.

¹³ To be inserted as required.

¹⁴ To be inserted as required.

¹⁵ To be inserted as required. According to the horizontal rules, appointing alternate members is not mandatory, see Article 10.8. Alternates may be appointed in relation to individuals appointed in a personal capacity and individuals representing a common interest.

¹⁶ To be inserted as required. According to the horizontal rules, establishing a reserve list is not mandatory, see Article 10.9. However, DGs are encouraged to establish such a list. In particular, a reserve list allows for individual replacements without having to launch a new call for applications.

¹⁷ To be adapted as required.

¹⁸ To be deleted as required.

The group shall act at the request of the Commission / DG [...] / The group shall act at the request of its chairman with the agreement of the Commission / DG [...]¹⁹, in compliance with the Commission's horizontal rules on expert groups ('the horizontal rules')²⁰.

In principle, the group shall meet [...] times per year on Commission premises in order to discuss [...]. The Commission / DG [...] shall provide secretarial services.

Members [and members' representatives²¹] should be prepared to attend meetings systematically, to contribute actively to discussions in the group, to be involved in preparatory work ahead of meetings, to examine and provide comments on documents under discussion, and to act, as appropriate, as 'rapporteurs' on ad hoc basis.

As a general rule, working documents will be drafted in [... English²²] and meetings will be also conducted in [... English²³].

The group shall adopt its opinions, recommendations or reports by consensus. [In the event of a vote, the outcome of the vote shall be decided by simple majority of the members. The members that voted against or abstained shall have the right to have a document summarising the reasons for their position annexed to the opinions, recommendations or reports.]²⁴

In agreement with the Commission / DG [...], the group may, by simple majority of its members, decide that deliberations shall be public.

Participants in the activities of the group [and sub-groups]²⁵ shall not be remunerated for the services they offer. Travel and subsistence expenses incurred by participants in the activities of the group [and sub-groups]²⁶ shall be reimbursed by the Commission²⁷. Reimbursement shall be made in accordance with the provisions in force within the Commission and within the limits of the available appropriations allocated to the Commission departments under the annual procedure for the allocation of resources.

The members of the group [and their representatives, as well as invited experts and observers]²⁸, are subject to the obligation of professional secrecy, which by virtue of the Treaties and the rules implementing them applies to all members of the institutions and their staff, as well as to the Commission's rules on security regarding the protection of Union classified information, laid down in Commission Decisions (EU, Euratom) 2015/443²⁹ and

¹⁹ To be deleted as required.

²⁰ See Article 13.1 of the horizontal rules.

²¹ To be inserted as required.

²² To be adapted as required.

²³ Idem.

²⁴ To be inserted if it is foreseen that the group may vote in the absence of a consensus.

²⁵ To be inserted as required.

²⁶ To be inserted as required.

²⁷ To be inserted as required. According to the horizontal rules, it is not mandatory to reimburse expenses, see Article 20.

²⁸ To be inserted as required.

²⁹ Commission Decision (EU, Euratom) 2015/443 of 13 March 2015 on Security in the Commission (OJ L 72, 17.3.2015, p. 41).

2015/444³⁰. Should they fail to respect these obligations, the Commission may take all appropriate measures.

On a proposal by and in agreement with the Commission / DG [...] the group shall adopt its rules of procedure on the basis of the standard rules of procedure for expert groups.

The Commission / DG [...] may invite experts with specific expertise with respect to a subject matter on the agenda to take part in the work of the group or sub-groups on an ad hoc basis.

Individuals /organisations/ public entities³¹ may be granted an observer status, in compliance with the horizontal rules, by direct invitation/as a result of this call for applications³². Organisations/public entities³³ appointed as observers shall nominate their representatives. Observers and their representatives may be permitted by the Chair to take part in the discussions of the group and provide expertise. However, they shall not have voting rights³⁴ and shall not participate in the formulation of recommendations or advice of the group.

The Commission/DG [...] may set up sub-groups for the purpose of examining specific questions on the basis of terms of reference defined by the Commission / DG [...]. Sub-groups shall operate in compliance with the horizontal rules and shall report to the group. They shall be dissolved as soon as their mandate is fulfilled. The members of sub-groups that are not members of the group shall be selected via a public call for applications.

2.4. TRANSPARENCY

The group shall be registered in the Register of Commission expert groups and other similar entities ('the Register of expert groups').

As concerns the group composition, the Commission / DG [...] shall publish the following data on the Register of expert groups³⁵:

- the name of individuals appointed in a personal capacity;
- the name of individuals appointed to represent a common interest; the interest represented shall be disclosed;
- the name of member organisations; the interest represented shall be disclosed;
- the name of other public entities;
- the name of observers;

³⁰ Commission Decision (EU, Euratom) 2015/444 of 13 March 2015 on the security rules for protecting EU classified information (OJ L 72, 17.3.2015, p. 53).

³¹ To be inserted as required.

³² To be inserted as required. According to the horizontal rules, it is not mandatory to select observers via a public call, see Article 16.1. If the call is used to select both members and observers, the text of the call must be adapted accordingly.

³³ To be inserted as required.

³⁴ To be inserted if vote is foreseen.

³⁵ To be adapted as required, in light of the composition of the group in question.

- the name of Member States' authorities³⁶;
- the name of third countries' authorities³⁷.
- the name of [organisations' representatives/ Member States' representatives/ other public entities representatives...]³⁸

The Commission / DG [...] shall make available all relevant documents, including the agendas, the minutes and the participants' submissions, either on the Register of expert groups or *via* a link from the Register to a dedicated website, where this information can be found. Access to dedicated websites shall not be submitted to user registration or any other restriction. In particular, the Commission / DG [...] shall ensure publication of the agenda and other relevant background documents in due time ahead of the meeting, followed by timely publication of minutes. Exceptions to publication shall only be foreseen where it is deemed that disclosure of a document would undermine the protection of a public or private interest as defined in Article 4 of Regulation (EC) N° 1049/2001³⁹.

Personal data shall be collected, processed and published in accordance with Regulation (EC) No 45/2001.

3. Application procedure

Interested individuals / Interested organisations⁴⁰ are invited to submit their application to the European Commission, DG [...].

Applications must be completed in one of the official languages of the European Union. However, applications in English would facilitate the evaluation procedure. If another language is used, it would be helpful to include a summary of the CV in English.

Organisations shall indicate the name of their representative(s) in the group⁴¹.

An application will be deemed admissible only if it is sent by the deadline and includes the documents referred to below. All documents submitted by applicants should be duly filled in, legible, signed and numbered sequentially.

Supporting documents

Each application shall include the following documents:

- a cover letter explaining the applicant's motivation for answering this call and stating what

³⁶ To be inserted as required. According to the horizontal rules, it is not mandatory to publish the name of the Member States' authorities, see Article 23.1 (c).

³⁷ To be inserted as required. According to the horizontal rules, it is not mandatory to publish the name of the third countries' authorities, see Article 23.1 (c).

³⁸ To be inserted as required. According to the horizontal rules, it is not mandatory to publish the name of these representatives, see Article 23.1 (d).

³⁹ These exceptions are intended to protect public security, military affairs, international relations, financial, monetary or economic policy, privacy and integrity of the individual, commercial interests, court proceedings and legal advice, inspections/investigations/audits and the institution's decision-making process.

⁴⁰ To be inserted as required.

⁴¹ To be inserted as required.

contribution the applicant could make to the group;

- a classification form duly filled in specifying the member category for which the application is made (Annex I).
- a selection criteria form duly filled in documenting how the applicant fulfills the selection criteria listed in chapter 4 of this call (Annex II).

For individuals applying to be appointed as members of the group in a personal capacity or to represent a common interest, as well as for individuals indicated by organisations as their representatives, a *curriculum vitae* (CV) shall also be provided, preferably not exceeding three pages. All CVs shall be submitted in the European format (<https://europass.cedefop.europa.eu/en/documents/curriculum-vitae/templates-instructions>).

Individuals applying to be appointed as members of the group in a personal capacity must disclose any circumstances that could give rise to a conflict of interest by submitting a declaration of interests ('DOI') form on the basis of the standard DOI form for expert groups attached to this call. Submission of a duly completed DOI form is necessary in order to be eligible to be appointed in a personal capacity. The Commission / DG [...] shall perform the conflict of interest assessment in compliance with the horizontal rules⁴².

Additional supporting documents (e.g. publications) may be requested at a later stage.

Deadline for application

The duly signed applications must be sent by [...] at the latest. The date of sending will be established as follows⁴³:

- Where applications are sent by e-mail to the following e-mail address: [...], the date of the e-mail will be the date of sending.
- Where applications are sent by post to the following address: European Commission, DG [...], Unit [...] secretariat – [address], B-1049 Brussels, the postmark will be considered the date of sending.
- Where applications are hand-delivered to the following address: European Commission, DG [...], Unit [...] secretariat – [address], the date on the receipt given upon delivery will be considered the date of sending.

4. Selection criteria⁴⁴

The Commission / DG [...] will take the following criteria into account when assessing applications:

- proven and relevant competence and experience, including at European and / or international level, in areas relevant to [...] (all applicants);

⁴² Article 11 of the horizontal rules.

⁴³ To be inserted as required.

⁴⁴ To be adapted in light of the group's membership and of the work to be performed.

- absence of circumstances that could give rise to a conflict of interest [...] (individuals applying to be appointed in a personal capacity only);
- proven capacity to represent effectively the position shared by stakeholders [...] (individuals applying to be appointed in order to represent a common interest only);
- competence, experience and hierarchical level of the proposed representatives (organisations only);
- good knowledge of the [English]⁴⁵ language allowing active participation in the discussions (individual applicants and organisations' representatives).

5. Selection procedure

The selection procedure shall consist of an assessment of the applications performed by the Commission / DG [...] against the selection criteria listed in chapter 4 of this call, followed by the establishment of a list of the most suitable applicants, and concluded by the appointment of the members of the group.

When defining the composition of the group, DG [...] shall aim at ensuring, as far as possible, a high level of expertise, as well as a balanced representation of relevant know how and areas of interest, while taking into account the specific tasks of the group, the type of expertise required, as well as the relevance of the applications received.

Where individual experts are appointed, either in their personal capacity or to represent a common interest, the Commission / DG [...] shall seek a geographical balance and a gender balance.

For any further information please contact [Mr / Ms [...]], Telephone: (32-2) [...], e-mail: [...].

ANNEXES:

- Classification form
- Selection criteria form
- Standard declaration of interests⁴⁶
- Guidance for filling in the declaration of interests⁴⁷
- Privacy statement

⁴⁵ To be adapted as required.

⁴⁶ To be inserted as required. To be used only in relation to individuals applying to be appointed in a personal capacity.

⁴⁷ Idem

Annex I - Classification form⁴⁸

To be filled in by all applicants

This application is made as: (*please select only one option*)

- An individual applying to be appointed in a personal capacity (Type A member);** if appointed I shall act independently and in the public interest.

or

- An individual applying to be appointed to represent a common interest** shared by stakeholders in a particular policy area (**Type B member**); if appointed I shall not represent an individual stakeholder.

Transparency Register identification number: [...]⁴⁹

or

- An organisation (Type C member).**

Transparency Register identification number: [...]

To be filled in by organisations applying to be appointed as Type C members

This application is made as the following **type of organisation**: (*please select only one option, taking into account the definitions indicated below*).

- a) Academia, research Institutes and Think Tanks
- b) Banks/Financial institutions
- c) Companies/groups
- d) Law firms
- e) NGOs
- f) Professionals' associations
- g) Professional consultancies
- h) Trade and business associations

⁴⁸ This form must be filled in, signed and returned with the application.

⁴⁹ If the individuals in question act as self-employed consultants, they should provide their own identification number. If the individuals in question do not act as self-employed consultants, they should provide the identification number of the organisation(s) of which they are employees, see Article 24 of the horizontal rules.

- i) Trade unions
- j) Other (please specify):

Definitions for organisation types

Academia, Research Institutes and Think Tanks

Universities, schools, research centers, think tanks and other similar bodies performing academic and/or educational activities.

Banks/Financial institutions

Banks and other similar bodies providing financial services, including financial intermediation. All sorts of banks should be classified within this category, including national central banks.

Companies/groups

Individual companies or groups of companies operating in the business sector, whether they are national companies or multinational ones.

Law firms

Business entities formed by one or more lawyers to engage in the practice of law. The primary service rendered by a law firm is to advise clients (individuals or corporations) about their legal rights and responsibilities, and to represent clients in civil or criminal cases, business transactions, and other matters in which legal advice and other assistance are sought.

NGOs

Non-profit organisations which are independent from public authorities and commercial organisations. Some NGOs are organised around specific issues, such as environment, consumer affairs, health and human rights.

Professionals' associations

Non-profit organisations seeking to further the interests of individuals engaged in a particular profession, such as physicians, nurses, architects, engineers and lawyers. Professionals' associations are different from business associations, as they promote and defend the interests of individuals carrying on a specific profession, not the interests of companies operating in the business sector.

Professional consultancies

Firms carrying on, on behalf of clients, activities involving advocacy, lobbying, promotion, public affairs and relations with public authorities.

Trade and business associations

Private bodies representing the interests of its members operating in the business sector.

Trade unions

Organisations of workers. The most common activities performed by trade unions include the negotiation of wages, work rules, rules governing hiring, firing and promotion of workers.

Other organisations

Organisations which are not possible to classify in any other category.

To be filled in by individuals applying to be appointed as Type B members and organisations applying to be appointed as Type C members

The applicant shall represent the following **interest**: (*please select one or more options, taking into account the definitions indicated below*):

- a) Academia/Research
- b) Civil society
- c) Employees/Workers
- d) Finance
- e) Industry
- f) Professionals
- g) SMEs
- h) Other (please specify):

Definitions for interests represented

Academia/Research

Universities, schools, research centers, think tanks and other similar bodies performing academic and/or educational activities.

Civil society

Civil society can be defined as the aggregate of non-governmental organisations and institutions that manifest interests and will of citizens or as individuals and organisations in a society which are independent of the government.

Employees/workers

Individuals working part-time or full-time under a contract of employment whether oral or written, express or implied, and having recognized rights and duties.

Finance

The management of revenues or the conduct or transaction of money matters, as in the fields of banking, insurance and investment.


Industry

Companies and groups of companies whose number of employees and turnover or balance sheet total are higher than the ones of SMEs (see below).

Professionals

Individuals operating in a particular profession, such as physicians, nurses, architects, engineers and lawyers.

SMEs

"SME" stands for small and medium-sized enterprises – as defined in EU law: [EU recommendation 2003/361](#) .

The main factors determining whether a company is an SME are:

1. **number of employees** and
2. either **turnover** or **balance sheet total**.

Company category Employees Turnover or Balance sheet total

Medium-sized < 250 ≤ € 50 m ≤ € 43 m

Small < 50 ≤ € 10 m ≤ € 10 m

Micro < 10 ≤ € 2 m ≤ € 2 m

These ceilings apply to the figures for individual firms only. A firm which is part of larger grouping may need to include employee/turnover/balance sheet data from that grouping too.

Other interest

Interest which is not possible to classify in any other category.

To be filled in by individuals applying to be appointed as Type B members and organisations applying to be appointed as Type C members

Please select one **or more policy areas** in which you/your organisation⁵⁰ operate(s):

- Agriculture
- Archaeology
- Architecture
- Audiovisual and media
- Audit
- Banking
- Biodiversity
- Civil protection
- Civil service
- Climate
- Competition
- Conservation
- Consumer affairs
- Culture
- Cultural Heritage
- Cultural Landscape
- Customs
- Development
- Disaster Risk Reduction
- Economy
- Education
- Employment and social affairs
- Energy
- Engineering (chemical)
- Engineering (civil)
- Engineering (infrastructure)
- Engineering (IT)
- Engineering (maritime)
- Engineering (space policy)
- Engineering (space research)
- Enlargement
- Environment
- Equal opportunities
- External relations
- External trade
- Finance
- Fisheries and aquaculture
- Food safety
- Forestry
- Fundamental rights

⁵⁰ To be inserted as required.

- Humanitarian aid
- Industry
- Information society
- Innovation
- Insurance
- Labour
- Land management
- Law (civil)
- Law (corporate)
- Law (criminal)
- Law (taxation)
- Linguistics and Terminology
- Livestock
- Medical profession
- Migration
- Natural resources
- Plant production
- Public affairs
- Public health
- Public relations
- Raw materials
- Research
- Science
- Science diplomacy
- Security
- Smart specialisation
- Social service
- Space and Satellites (policy)
- Space and Satellites (research)
- Sport
- Statistics
- Sustainable Development
- Systemic eco-innovation
- Tax
- Trade
- Training
- Transport
- Urban development
- Water
- Youth
- Other

For individuals applying to be appointed as Type B members

Title:

Surname⁵¹:

First name⁵²:

Date:

Signature

For organisations applying to be appointed as Type C members

Name of the organisation⁵³:

Surname of the representative proposed:

First name of the representative proposed:

Surname of the person applying on behalf of the organisation:

First name of the person applying on behalf of the organisation:

Date:

Signature

⁵¹ It is mandatory to use exactly the same name used when registering in the Transparency Register.

⁵² Idem

⁵³ Idem

Annex II: Selection criteria form⁵⁴

Applicants are requested to describe how they fulfil the selection criteria listed in this call⁵⁵.

Proven and relevant competence and experience, including at European and/or international level, in areas relevant to [...]	
Proven capacity to represent effectively the position shared by stakeholders [...]	
Competence, experience and hierarchical level of the proposed representatives [...]	
Good knowledge of the English language [...]	

For individuals applying to be appointed as Type B members

Title:

Surname⁵⁶:

First name⁵⁷:

Date:

Signature

For organisations applying to be appointed as Type C members

Name of the organisation⁵⁸:

Surname of the representative proposed:

First name of the representative proposed:

Surname of the person applying on behalf of the organisation:

First name of the person applying on behalf of the organisation:

Date:

Signature

⁵⁴ This form **must** be filled in, signed and returned with the application.

⁵⁵ Selection criteria to be specified and adapted as required, in light of the call for applications in question.

⁵⁶ It is mandatory to use **exactly** the same name used when registering in the Transparency Register.

⁵⁷ Idem

⁵⁸ Idem

ANNEX 3

Standard rules of procedure for expert groups

RULES OF PROCEDURE OF THE GROUP OF EXPERTS ON [*Name of group*]

THE GROUP [*name of group*],

Having regard to Commission Decision setting up the group/Having regard to the creation of the group by DG [...] ⁵⁹,

Having regard to the standard rules of procedure of expert groups ⁶⁰,

HAS ADOPTED THE FOLLOWING RULES OF PROCEDURE:

Point 1

Operation of the group

The group shall act at the request of DG [...] /The group shall act at the request of its chairman with the agreement of DG [...] ⁶¹.

Point 2

Convening a meeting

1. Meetings of the group are convened by the Chair, with the agreement of DG [...] either on its own initiative, or at the request of a simple majority of members after DG [...] has given its agreement.
2. Joint meetings of the group with other groups may be convened to discuss matters falling within their respective areas of responsibility.
3. Meetings of the group shall be held on Commission premises.

⁵⁹ To be deleted as required.

⁶⁰ C(2016) 3301 (Annex 3).

⁶¹ To be deleted as required.

Point 3

Agenda

1. The secretariat shall draw up the agenda under the responsibility of the Chair and send it to the members of the group.
2. The agenda shall be adopted by the group at the start of the meeting.

Point 4

Documentation to be sent to group members

1. The secretariat shall send the invitation to the meeting and the draft agenda to the group members no later than thirty calendar days⁶² before the date of the meeting.
2. The secretariat shall send documents on which the group is consulted to the group members no later than fourteen calendar days⁶³ before the date of the meeting.
3. In urgent or exceptional cases, the time limits for sending the documentation mentioned in paragraphs 1 and 2 may be reduced to five calendar days before the date of the meeting⁶⁴.

Point 5

Opinions of the group

1. As far as possible, the group shall adopt its opinions, recommendations or reports by consensus.
2. In the event of a vote, the outcome of the vote shall be decided by simple majority of the members. The members that have voted against or abstained shall have the right to have a document summarising the reasons for their position annexed to the opinions, recommendations or reports⁶⁵.

⁶² To be adapted as required.

⁶³ To be adapted as required.

⁶⁴ To be adapted as required.

⁶⁵ To be inserted, if vote is foreseen.

Point 6

Sub-groups

1. The Commission / DG [...] may set up sub-groups for the purpose of examining specific questions on the basis of terms of reference defined by the Commission / DG [...]. Sub-groups shall operate in compliance with the Commission's horizontal rules on expert groups ('the horizontal rules') and shall report to the group. They shall be dissolved as soon as their mandate is fulfilled.
2. The members of sub-groups that are not members of the group shall be selected via a public call for applications, in compliance the horizontal rules⁶⁶.

Point 7

Invited experts

The Commission / DG [...] may invite experts with specific expertise with respect to a subject matter on the agenda to take part in the work of the group or sub-groups on an ad hoc basis.

Point 8

Observers

1. Individuals/organisations/public entities⁶⁷ may be granted an observer status, in compliance with the horizontal rules, by direct invitation/as a result of a call for applications⁶⁸.
2. Organisations/public entities⁶⁹ appointed as observers shall nominate their representatives.
3. Observers and their representatives may be permitted by the Chair to take part in the discussions of the group and provide expertise. However, [they shall not have voting rights]⁷⁰ and shall not participate in the formulation of recommendations or advice of the group.

⁶⁶ See Articles 10 and 14.2.

⁶⁷ To be inserted as required.

⁶⁸ To be deleted as required.

⁶⁹ To be inserted as required.

⁷⁰ To be inserted if vote is foreseen.

Point 9

Written procedure

1. If necessary, the group's opinion or recommendation on a specific question may be delivered via a written procedure. To this end, the secretariat sends the group members the document(s) on which the group is being consulted.
2. However, if a simple majority of group members asks for the question to be examined at a meeting of the group, the written procedure shall be terminated without result and the Chair shall convene a meeting of the group as soon as possible.

Point 10

Secretariat

DG [...] shall provide secretarial support for the group and any sub-groups.

Point 11

Minutes of the meetings

Minutes on the discussion on each point on the agenda and on the opinions delivered by the group shall be meaningful and complete. Minutes shall be drafted by the secretariat under the responsibility of the Chair.

Point 12

Attendance list

At each meeting, the secretariat shall draw up, under the responsibility of the Chair, an attendance list also specifying, where appropriate, the Member States' authorities, organisations or other public entities to which the participants belong.

Point 13⁷¹

Conflicts of interest

1. The chair of each expert group or sub-group shall, at the first meeting of each calendar year, remind all members appointed in a personal capacity of their obligation to promptly inform the Commission / DG [...] of any relevant change in the information

⁷¹ This point is to be inserted only if the group includes experts appointed in a personal capacity.

previously provided, including as regards upcoming activities, in which case they must immediately submit a newly completed declaration of interests describing the change, in order to enable the Commission / DG [...] to assess it in due course, in compliance with the horizontal rules.

2. Should a conflict of interest in relation to an expert appointed in a personal capacity arise, DG [...] shall take all appropriate measures, in compliance with the horizontal rules⁷².
3. Conflicts of interest shall be reported in writing, e.g. in the minutes of the group's meeting. Information registered must be adequate, relevant and not going beyond what is necessary for the purpose of the management of the conflict of interest.

Point 14

Correspondence

1. Correspondence relating to the group shall be addressed to DG [...], for the attention of the Chair.
2. Correspondence for group members shall be sent to the [e-mail] address which they provide for that purpose.

Point 15

Transparency⁷³

1. The group [and sub-groups]⁷⁴ shall be registered on the Register of expert groups.
2. As concerns the group composition, the following data shall be published on the Register of expert groups:
 - (a) the name of individuals appointed in a personal capacity;
 - (b) the name of individuals appointed to represent a common interest; the interest represented shall be disclosed;
 - (c) the name of member organisations; the interest represented shall be disclosed;
 - (d) the name of other public entities;

⁷² See Article 11.

⁷³ To be adapted as required, in compliance with Commission Decision C(2016) 3301. Individuals who do not wish to have their names disclosed may submit a request to DG [...] for a derogation from this rule. A derogation shall be granted where justified on compelling legitimate grounds in relation to the specific situation of the individual, in particular where disclosure of the experts' name could endanger their security or integrity

⁷⁴ To be inserted as required.

- (e) the name of observers;
 - (f) the name of Member States' authorities⁷⁵;
 - (g) the name of third countries' authorities⁷⁶;
 - (h) the name of [organisations' representatives/ Member States' representatives/ other public entities representatives...]⁷⁷.
3. DG [...] shall make available all relevant documents, including the agendas, the minutes and the participants' submissions, either on the Register of expert groups or *via* a link from the Register to a dedicated website, where this information can be found. Access to dedicated websites shall not be submitted to user registration or any other restriction. In particular, DG [...] shall publish the agenda and other relevant background documents in due time ahead of the meeting, followed by timely publication of minutes. Exceptions to publication shall only be foreseen where it is deemed that disclosure of a document would undermine the protection of a public or private interest as defined in Article 4 of Regulation (EC) N° 1049/2001⁷⁸.

Point 16

Access to documents

Applications for access to documents held by the group shall be handled in accordance with Regulation (EC) No 1049/2001⁷⁹.

Point 17

Deliberations

In agreement with [DG...], the group may, by simple majority of its members, decide that deliberations shall be public.

⁷⁵ To be inserted as required. According to the horizontal rules, it is not mandatory to publish the name of the Member States' authorities, see Article 23.1 (c).

⁷⁶ To be inserted as required. According to the horizontal rules, it is not mandatory to publish the name of the third countries' authorities, see Article 23.1 (c).

⁷⁷ To be inserted as required. According to the horizontal rules, it is not mandatory to publish the name of these representatives, see Article 23.1 (d).

⁷⁸ These exceptions are intended to protect public security, military affairs, international relations, financial, monetary or economic policy, privacy and integrity of the individual, commercial interests, court proceedings and legal advice, inspections/investigations/audits and the institution's decision-making process.

⁷⁹ Regulation (EC) No 1049/2001 of the European Parliament and of the Council of 30 May 2001 regarding public access to European Parliament, Council and Commission documents (OJ L 145, 31.5.2001, p. 43).

ANNEX 4

Standard declaration of interests (DOI) form for individuals applying to be appointed as members of expert groups or sub-groups in a personal capacity

Legal basis:

Commission Decision [C(2016)...] establishing horizontal rules on the creation and operation of Commission expert groups, Articles 2(4) and 11.

Definitions:

"Conflict of interest" means any situation where an individual has an interest that may compromise or be reasonably perceived to compromise the individual's capacity to act independently and in the public interest when providing advice to the Commission in relation to the subject of the work performed by the expert group or sub-group in question.

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

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

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

"Meeting" includes a series or cycle of meetings.

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

If you do not describe relevant interests, your DOI form will be considered incomplete and, therefore, your application to be appointed as a member of an expert group or sub-group in a personal capacity shall be rejected.

First name:

Family name:

Expert group/sub-group:

1 EMPLOYMENT CONSULTANCY AND LEGAL REPRESENTATION

	<i>Within the past 5 years, were you employed or have you had any other professional relationship with a natural or legal entity, or held any non-remunerated post in a legal entity or other body with an interest in the field of activity of the expert group/sub-group in question?</i>	yes	no
--	---	------------	-----------

1a	Employment	<input type="checkbox"/>	<input type="checkbox"/>
1b	Consultancy, including services as an advisor	<input type="checkbox"/>	<input type="checkbox"/>
1c	Non-remunerated post	<input type="checkbox"/>	<input type="checkbox"/>
1d	Legal representation	<input type="checkbox"/>	<input type="checkbox"/>

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

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

	<i>Within the past 5 years, have you participated in the internal decision-making of a legal entity or other body with an interest in the field of activity of the expert group/sub-group in question or have you participated in the works of a Scientific Advisory Body with voting rights on the outputs of that entity?</i>	yes	no
--	---	------------	-----------

2a	Participation in a decision-making process	<input type="checkbox"/>	<input type="checkbox"/>
2b	Participation in the work of a Scientific Advisory Body	<input type="checkbox"/>	<input type="checkbox"/>

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

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3 RESEARCH SUPPORT

	<i>Within the past 5 years, have you, or the research entity to which you belong, received any support from a legal entity or other body with an interest in the field of activity of the expert group/sub-group in question?</i>	yes	no
--	---	------------	-----------

3a	Research support, including grants, rents, sponsorships, fellowships, non-monetary support	<input type="checkbox"/>	<input type="checkbox"/>
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Activity	Time period (from... until month/year)	Name of legal entity or body	Description

4 FINANCIAL INTERESTS

	<i>Do you have current investments in a legal entity with an interest in the field of activity of the expert group/sub-group in question, including holding of stocks and shares, and which amounts to more than 10,000 EUR per legal entity or entitling you to a voting right of 5% or more in such legal entity?</i>	yes	no
--	---	------------	-----------

4a	Shares	<input type="checkbox"/>	<input type="checkbox"/>
4b	Other stock	<input type="checkbox"/>	<input type="checkbox"/>

Investment	Name of legal entity	Description

5 INTELLECTUAL PROPERTY

	<i>Do you have any intellectual property rights that might be affected by the outcome of the work carried out by the expert group/sub-group in question?</i>	yes	no
--	--	------------	-----------

5a	Patent, trademarks, or copyrights	<input type="checkbox"/>	<input type="checkbox"/>
5b	Others	<input type="checkbox"/>	<input type="checkbox"/>

Intellectual property	Description

6 PUBLIC STATEMENTS AND POSITIONS

	<i>Within the past 5 years, have you provided any expert opinion or testimony in the field of activity of the expert group/sub-group in question, for a legal entity or other body as part of a regulatory, legislative or judicial process? Have you held an office or other position, paid or unpaid, where you represented interests or defended an opinion in the field of activity of the expert group/sub-group in question?</i>	Yes	no
--	--	------------	-----------

6a	For a legal entity or other body as part of a regulatory, legislative or judicial process	<input type="checkbox"/>	<input type="checkbox"/>
6b	Represented interests or defended an opinion	<input type="checkbox"/>	<input type="checkbox"/>

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

7 INTERESTS OF IMMEDIATE FAMILY MEMBERS yes no

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

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

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

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

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

I am informed that my personal data are stored, processed and published by the Commission in accordance with Regulation (EC) N° 45/2001.

Date: _____

Signature: _____

Your DOI form shall be made publicly available on the Register of Commission Expert Groups and Other Similar Entities, as long as you are appointed as member of the expert group or sub-group in a personal capacity. Technical measures will be taken to indicate to search engines that your DOI form should not appear in search results.

ANNEX 5

Guidance for filling in the declaration of interests (DOI) form by individuals applying to be appointed as members of expert groups or sub-groups in a personal capacity

According to the Commission's horizontal rules on expert groups ('the horizontal rules'), Commission expert groups and other similar entities are consultative bodies⁸⁰, the role of which is to provide advice and expertise to the Commission and its departments in relation to a number of tasks⁸¹. Individuals appointed as members of expert groups or sub-groups in a personal capacity are due to act independently and in the public interest⁸².

In order to ensure the highest integrity of experts, you are requested to duly complete the DOI form. You are required to disclose any circumstances that could give rise to a conflict of interest, i.e. any situation where your interests may compromise or may reasonably be perceived to compromise your capacity to act independently and in the public interest in providing advice to the Commission, in relation to the subject of the work performed by the expert group or sub-group in question. In particular, you must disclose in this DOI form any relevant professional and financial interests.

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

Please submit the completed DOI form to the competent Commission department, together with your CV, as part of your application to become member of an expert group or sub-group in a personal capacity. If there is any change concerning the information provided in the form, including on upcoming activities, you must promptly inform the competent Commission departments by completing a new DOI form which describes the changes in question.

Please note that having a declared interest does not necessarily mean having a conflict of interest. Answering "Yes" to a question on this DOI form does not automatically disqualify you or limit your participation in an expert group or sub-group. The competent Commission departments will review your answers in accordance with the horizontal rules and determine whether a conflict of interest relevant to the subject at hand exists⁸³.

Where the competent Commission departments conclude that no conflict of interest exists, you are eligible to be appointed in a personal capacity. Where the competent Commission departments conclude that your interests may compromise or be reasonably perceived to compromise your capacity to act independently and in the public interest when providing advice to the Commission in relation to the subject of the work performed by the expert group or sub-group in question, they shall take one of the following measures to deal with the conflict of interest detected, depending on the specific circumstances:

⁸⁰ C(2016) 3301, Article 2.1.

⁸¹ Idem, Article 3.

⁸² Idem, Article 7.2. (a).

⁸³ Idem, Article 11.

- You shall not be appointed in a personal capacity to the expert group or sub-group in question; in such case the competent Commission department shall inform you about the outcome of the conflict of interest assessment performed;
- You shall be appointed as member of the expert group or sub-group in a personal capacity with a number of specific restrictions: you may be excluded from certain meetings and/or activities carried out by the group, such as drafting opinions or recommendations; you may also be required to abstain from discussing certain agenda items and/or from any vote on those items;
- You shall be appointed as member of the expert group or sub-group representing a common interest shared by a number of stakeholders, after consultation of the stakeholders concerned;

Your DOI form shall be made publicly available on the Register of Commission Expert Groups and Other Similar Entities, as long as you are appointed as member of the expert group or sub-group in a personal capacity. Technical measures will be taken to indicate to search engines that your DOI form should not appear in search results.

If you decline to complete a DOI form, you are not eligible to be appointed as a member of the expert group or sub-group in question in a personal capacity.

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

Annex: privacy statement

ANNEX 6

Standard declaration of interests (DOI) form for members of expert groups or sub-groups appointed in a personal capacity⁸⁴

Legal basis:

Commission Decision [C(2016)...] establishing horizontal rules on the creation and operation of Commission expert groups, Articles 2(4) and 10.

Definitions:

"Conflict of interest" means any situation where an individual has an interest that may compromise or be reasonably perceived to compromise the individual's capacity to act independently and in the public interest when providing advice to the Commission in relation to the subject of the work performed by the expert group or sub-group in question.

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

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

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

"Meeting" includes a series or cycle of meetings.

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

If you do not describe relevant interests, your DOI form will be considered incomplete and, therefore, you shall be excluded from the expert group or sub-group.

First name:

Family name:

Expert group/sub-group:

⁸⁴ This standard DOI must be filled in by experts who were appointed as members in a personal capacity **before** the adoption of the revised horizontal rules, C(2016) 3301.

1 EMPLOYMENT CONSULTANCY AND LEGAL REPRESENTATION

	<i>Within the past 5 years, were you employed or have you had any other professional relationship with a natural or legal entity, or held any non-remunerated post in a legal entity or other body with an interest in the field of activity of the expert group/sub-group in question?</i>	yes	no
--	---	------------	-----------

1a	Employment	<input type="checkbox"/>	<input type="checkbox"/>
1b	Consultancy, including services as an advisor	<input type="checkbox"/>	<input type="checkbox"/>
1c	Non-remunerated post	<input type="checkbox"/>	<input type="checkbox"/>
1d	Legal representation	<input type="checkbox"/>	<input type="checkbox"/>

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

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

	<i>Within the past 5 years, have you participated in the internal decision-making of a legal entity or other body with an interest in the field of activity of the expert group/sub-group in question or have you participated in the works of a Scientific Advisory Body with voting rights on the outputs of that entity?</i>	yes	no
--	---	------------	-----------

2a	Participation in a decision-making process	<input type="checkbox"/>	<input type="checkbox"/>
2b	Participation in the work of a Scientific Advisory Body	<input type="checkbox"/>	<input type="checkbox"/>

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

3 RESEARCH SUPPORT

	<i>Within the past 5 years, have you, or the research entity to which you belong, received any support from a legal entity or other body with an interest in the field of activity of the expert group/sub-group in question?</i>	yes	no
--	---	------------	-----------

3a	Research support, including grants, rents, sponsorships, fellowships, non-monetary support	<input type="checkbox"/>	<input type="checkbox"/>
-----------	---	--------------------------	--------------------------

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

4 FINANCIAL INTERESTS

	<i>Do you have current investments in a legal entity with an interest in the field of activity of the expert group/sub-group in question, including holding of stocks and shares, and which amounts to more than 10,000 EUR per legal entity or entitling you to a voting right of 5% or more in such legal entity?</i>	yes	no
--	---	------------	-----------

4a	Shares	<input type="checkbox"/>	<input type="checkbox"/>
4b	Other stock	<input type="checkbox"/>	<input type="checkbox"/>

Investment	Name of legal entity	Description

5 INTELLECTUAL PROPERTY

	<i>Do you have any intellectual property rights that might be affected by the outcome of the work carried out by the expert group/sub-group in question?</i>	yes	no
--	--	------------	-----------

5a	Patent, trademarks, or copyrights	<input type="checkbox"/>	<input type="checkbox"/>
5b	Others	<input type="checkbox"/>	<input type="checkbox"/>

Intellectual property	Description

6 PUBLIC STATEMENTS AND POSITIONS

	<i>Within the past 5 years, have you provided any expert opinion or testimony in the field of activity of the expert group/sub-group in question, for a legal entity or other body as part of a regulatory, legislative or judicial process? Have you held an office or other position, paid or unpaid, where you represented interests or defended an opinion in the field of activity of the expert group/sub-group in question?</i>	yes	no
--	--	------------	-----------

6a	For a legal entity or other body as part of a regulatory, legislative or judicial process	<input type="checkbox"/>	<input type="checkbox"/>
6b	Represented interests or defended an opinion	<input type="checkbox"/>	<input type="checkbox"/>

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

7 INTERESTS OF IMMEDIATE FAMILY MEMBERS yes no

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

7b	If interests of your immediate family members are declared, it is your responsibility to inform them about the collection and publication of information on their interests included in the DOI and to provide them with the privacy statement attached to the guidance for filling in this DOI, and this at the latest when you file the DOI form with the Commission.
-----------	---

8 OTHER RELEVANT INFORMATION yes no

8a	Are there any other elements that could be seen as undermining your independence when providing advice to the Commission in the field of activity of the expert group/sub-group in question?	<input type="checkbox"/>	<input type="checkbox"/>
-----------	---	--------------------------	--------------------------

Description:

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

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

I am informed that my personal data are stored, processed and published by the Commission in accordance with Regulation (EC) N° 45/2001.

Date: _____

Signature: _____

Your DOI form shall be made publicly available on the Register of Commission Expert Groups and Other Similar Entities, as long as you are appointed as member of the expert group or sub-group in a personal capacity. Technical measures will be taken to indicate to search engines that your DOI form should not appear in search results.

ANNEX 7

Guidance for filling in the declaration of interests (DOI) form for members of expert groups or sub-groups appointed in a personal capacity

According to the Commission's horizontal rules on expert groups ('the horizontal rules'), Commission expert groups and other similar entities are consultative bodies⁸⁵, the role of which is to provide advice and expertise to the Commission and its departments in relation to a number of tasks⁸⁶. Individuals appointed as members of expert groups or sub-groups in a personal capacity are due to act independently and in the public interest⁸⁷.

In order to ensure the highest integrity of experts, you are requested to duly complete the DOI form. You are required to disclose any circumstances that could give rise to a conflict of interest, i.e. any situation where your interests may compromise or may reasonably be perceived to compromise your capacity to act independently and in the public interest in providing advice to the Commission, in relation to the subject of the work performed by the expert group or sub-group in question. In particular, you must disclose in this DOI form any relevant professional and financial interests.

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

Please submit the completed DOI form to the competent Commission department, together with your CV, in order for Commission services to determine if you may continue participating in the work of the group. If there is any change concerning the information provided in the form, including on upcoming activities, you must promptly inform the competent Commission departments by completing a new DOI form which describes the changes in question.

Please note that having a declared interest does not necessarily mean having a conflict of interest. Answering "Yes" to a question on this DOI form does not automatically disqualify you or limit your participation in an expert group or sub-group. The competent Commission departments will review your answers in accordance with the horizontal rules and determine whether a conflict of interest relevant to the subject at hand exists⁸⁸.

Where the competent Commission departments conclude that no conflict of interest exists, you may continue to be member of the group in a personal capacity. Where the competent Commission departments conclude that your interests may compromise or be reasonably perceived to compromise your capacity to act independently and in the public interest when advising the Commission, you shall be excluded from the group.

⁸⁵ C(2016) 3301, Article 2.1.

⁸⁶ Idem, Article 3.

⁸⁷ Idem, Article 7.2 (a).

⁸⁸ Idem, Article 11.

Your DOI form shall be made publicly available on the Register of Commission Expert Groups and Other Similar Entities, as long as you are appointed as member of the expert group or sub-group in a personal capacity. Technical measures will be taken to indicate to search engines that your DOI form should not appear in search results.

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

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

Annex: privacy statement

ANNEX 8

Standard classification form for Type B and C members appointed before the adoption of the revised horizontal rules⁸⁹

Expert group on [...]

Type B members

To be filled in by Commission departments

Title:

Surname⁹⁰:

First name⁹¹:

You are currently classified as a member of the group representing a common interest shared by stakeholders (type B member).

To be filled in by Type B members

Please select the **interest** that you represent: (*please select one or more options, taking into account the definitions indicated below*):

- a) Academia/Research
- b) Civil society
- c) Employees/Workers
- d) Finance
- e) Industry
- f) Professionals
- g) SMEs
- h) Other (please specify):

⁸⁹ This form may be used by DGs to classify correctly in the Register of expert groups Type B and Type C members appointed before the adoption of the horizontal rules (C(2016) 3301), as well as to indicate the interest represented by these members and the policy area concerned.

⁹⁰ It is mandatory to use exactly the same name as the one encoded on the Transparency Register, even if it differs from the one submitted by the expert at the time of application or appointment.

⁹¹ Idem

Definitions for interests represented

Academia/Research

Universities, schools, research centers, think tanks and other similar bodies performing academic and/or educational activities.

Civil society

Civil society can be defined as the aggregate of non-governmental organisations and institutions that manifest interests and will of citizens or as individuals and organisations in a society which are independent of the government.

Employees/workers

Individuals working part-time or full-time under a contract of employment whether oral or written, express or implied, and having recognized rights and duties.

Finance

The management of revenues or the conduct or transaction of money matters, especially those affecting the public, as in the fields of banking and investment.


Industry

Companies and groups of companies whose number of employees and turnover or balance sheet total are higher than the ones of SMEs (see below).

Professionals

Individuals operating in a particular profession, such as physicians, nurses, architects, engineers and lawyers.

SMEs

"SME" stands for small and medium-sized enterprises – as defined in EU law: [EU recommendation 2003/361](#) .

The main factors determining whether a company is an SME are:

1. **number of employees** and
2. either **turnover** or **balance sheet total**.

Company category Employees Turnover or Balance sheet total

Medium-sized	< 250	≤ € 50 m	≤ € 43 m
Small	< 50	≤ € 10 m	≤ € 10 m

Micro < 10 ≤ € 2 m ≤ € 2 m

These ceilings apply to the figures for individual firms only. A firm which is part of larger grouping may need to include employee/turnover/balance sheet data from that grouping too.

Other interest

Interest which is not possible to classify in any other category.

To be filled in by Type B members

Please select one or more **policy areas** in which you operate:

- Agriculture
- Archaeology
- Architecture
- Audiovisual and media
- Audit
- Banking
- Biodiversity
- Civil protection
- Civil service
- Climate
- Competition
- Conservation
- Consumer affairs
- Culture
- Cultural Heritage
- Cultural Landscape
- Customs
- Development
- Disaster Risk Reduction
- Economy
- Education
- Employment and social affairs
- Energy
- Engineering (chemical)
- Engineering (civil)
- Engineering (infrastructure)
- Engineering (IT)
- Engineering (maritime)
- Engineering (space policy)
- Engineering (space research)
- Enlargement
- Environment
- Equal opportunities
- External relations
- External trade

- Finance
- Fisheries and aquaculture
- Food safety
- Forestry
- Fundamental rights
- Humanitarian aid
- Industry
- Information society
- Innovation
- Insurance
- Labour
- Land management
- Law (civil)
- Law (corporate)
- Law (criminal)
- Law (taxation)
- Linguistics and Terminology
- Livestock
- Medical profession
- Migration
- Natural resources
- Plant production
- Public affairs
- Public health
- Public relations
- Raw materials
- Research
- Science
- Science diplomacy
- Security
- Smart specialisation
- Social service
- Space and Satellites (policy)
- Space and Satellites (research)
- Sport
- Statistics
- Sustainable Development
- Systemic eco-innovation
- Tax
- Trade
- Training
- Transport
- Urban development
- Water
- Youth
- Other

Title:

Surname⁹²:

First name⁹³:

Date:

Signature

Type C members

To be filled in by Commission departments

Name of the organisation⁹⁴:

Surname of the organisation's representative⁹⁵:

First name of the organisation's representative⁹⁶:

Your organisation is currently classified as a member of the group (type C member).

To be filled in by Type C members

Please select the **type of organisation**: (*please select only one option, taking into account the definitions indicated below.*)

- a) Academia, research Institutes and Think Tanks
- b) Banks/Financial institutions
- c) Companies/groups
- d) Law firms
- e) NGOs
- f) Professionals' associations

⁹² It is **mandatory** to use **exactly** the same name as the one encoded on the Transparency Register, even if it differs from the one submitted at the time of application or appointment.

⁹³ Idem

⁹⁴ It is mandatory to use exactly the same name as the one encoded on the Transparency Register, even if it differs from the one used at the time of application or appointment.

⁹⁵ If encoded on the Register of expert groups.

⁹⁶ If encoded on the Register of expert groups.

- g) Professional consultancies
- h) Trade and business associations
- i) Trade unions
- j) Other (please specify):

Definitions for organisation types

Academia, Research Institutes and Think Tanks

Universities, schools, research centers, think tanks and other similar bodies performing academic and/or educational activities.

Banks/Financial institutions

Banks and other similar bodies providing financial services, including financial intermediation. All sorts of banks should be classified within this category, including national central banks.

Companies/groups

Individual companies or groups of companies operating in the business sector, whether they are national companies or a multinational ones.

Law firms

Business entities formed by one or more lawyers to engage in the practice of law. The primary service rendered by a law firm is to advise clients (individuals or corporations) about their legal rights and responsibilities, and to represent clients in civil or criminal cases, business transactions, and other matters in which legal advice and other assistance are sought.

NGOs

Non-profit organisations which are independent from public authorities and commercial organisations. Some NGOs are organised around specific issues, such as environment, consumer affairs, health and human rights.

Professionals' associations

Non-profit organisations seeking to further the interests of individuals engaged in a particular profession, such as physicians, nurses, architects, engineers and lawyers. Professionals' associations are different from business associations, as they promote and defend the interests of individuals carrying on a specific profession, not the interests of companies operating in the business sector.

Professional consultancies

Firms carrying on, on behalf of clients, activities involving advocacy, lobbying, promotion, public affairs and relations with public authorities.

Trade and business associations

Private bodies representing the interests of its members operating in the business sector.

Trade Unions

Organisations of workers. The most common activities performed by trade unions include the negotiation of wages, work rules, rules governing hiring, firing and promotion of workers.

Other Organisations

Organisations which are not possible to classify in any other category.

To be filled in by Type C members

Please select the **interest** represented by your organisation: (*please select one or more options, taking into account the definitions indicated below*):

- a) Academia/Research
- b) Civil society
- c) Employees/Workers
- d) Finance
- e) Industry
- f) Professionals
- g) SMEs
- h) Other (please specify):

Definitions for interests represented

Academia/Research

Universities, schools, research centers, think tanks and other similar bodies performing academic and/or educational activities.

Civil society

Civil society can be defined as the aggregate of non-governmental organisations and institutions that manifest interests and will of citizens or as individuals and organisations in a society which are independent of the government.

Employees/workers

Individuals working part-time or full-time under a contract of employment whether oral or written, express or implied, and having recognized rights and duties.

Finance

The management of revenues or the conduct or transaction of money matters, especially those affecting the public, as in the fields of banking and investment.


Industry

Companies and groups of companies whose number of employees and turnover or balance sheet total are higher than the ones of SMEs (see below).

Professionals

Individuals operating in a particular profession, such as physicians, nurses, architects, engineers and lawyers.

SMEs

"SME" stands for small and medium-sized enterprises – as defined in EU law: [EU recommendation 2003/361](#) .

The main factors determining whether a company is an SME are:

1. **number of employees** and
2. either **turnover** or **balance sheet total**.

Company category Employees Turnover or Balance sheet total

Medium-sized < 250 ≤ € 50 m ≤ € 43 m

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Micro < 10 ≤ € 2 m ≤ € 2 m

These ceilings apply to the figures for individual firms only. A firm which is part of larger grouping may need to include employee/turnover/balance sheet data from that grouping too.

Other interest

Interest which is not possible to classify in any other category.

To be filled in by Type C members

Please select one or more **policy areas** in which your organisation operates:

- Agriculture
- Archaeology
- Architecture
- Audiovisual and media
- Audit
- Banking
- Biodiversity
- Civil protection
- Civil service
- Climate
- Competition
- Conservation
- Consumer affairs
- Culture
- Cultural Heritage
- Cultural Landscape
- Customs
- Development
- Disaster Risk Reduction
- Economy
- Education
- Employment and social affairs
- Energy
- Engineering (chemical)
- Engineering (civil)
- Engineering (infrastructure)
- Engineering (IT)
- Engineering (maritime)
- Engineering (space policy)
- Engineering (space research)
- Enlargement
- Environment
- Equal opportunities
- External relations
- External trade
- Finance
- Fisheries and aquaculture
- Food safety
- Forestry

- Fundamental rights
- Humanitarian aid
- Industry
- Information society
- Innovation
- Insurance
- Labour
- Land management
- Law (civil)
- Law (corporate)
- Law (criminal)
- Law (taxation)
- Linguistics and Terminology
- Livestock
- Medical profession
- Migration
- Natural resources
- Plant production
- Public affairs
- Public health
- Public relations
- Raw materials
- Research
- Science
- Science diplomacy
- Security
- Smart specialisation
- Social service
- Space and Satellites (policy)
- Space and Satellites (research)
- Sport
- Statistics
- Sustainable Development
- Systemic eco-innovation
- Tax
- Trade
- Training
- Transport
- Urban development
- Water
- Youth
- Other

Name of the organisation⁹⁷:

Surname of the person acting on behalf of the organisation:

First name of the person acting on behalf of the organisation:

Surname of the organisation's representative⁹⁸:

First name of the organisation's representative⁹⁹:

Date:

Signature

⁹⁷ It is mandatory to use exactly the same name as the one encoded in the Transparency Register, even if it differs from the one used at the time of application or appointment.

⁹⁸ If encoded on the Register.

⁹⁹ If encoded on the Register.