

Supporting Member States in reaching informed decision-making on engaging with private sector entities for the prevention and control of noncommunicable diseases

A practical tool



WEB ANNEX B:
Questionnaire for users

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Suggested citation. Web Annex B. Questionnaire for users. In: Supporting Member States in reaching informed decision-making on engaging with private sector entities for the prevention and control of noncommunicable diseases - A practical tool. Geneva: World Health Organization; 2024 (WHO/UCN/GNP/2024.1). Licence: CC BY-NC-SA 3.0 IGO.

Cataloguing-in-Publication (CIP) data. CIP data are available at <https://iris.who.int/>.

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Phase I. Assess

STEP 1 NCD challenges and context-specific pressing factors for considering private sector engagement

1. What are the NCD challenges or gaps to be addressed through engagement with the private sector?
2. What are the barriers that undermine or hinder the government in achieving the desired NCD goals on its own?

STEP 2 Purpose of the engagement

3. What is the purpose of the engagement?

| | | | |
|------------------------------|------------------------------------------|----------------------------------------------------------------------|----------------------------|
| Financing | Service delivery | Affordability and access to medicines and health technologies | Product development |
| Product reformulation | Knowledge and information sharing | Health literacy | Other |

STEP 3 Mapping of private sector actors

Added value to government-led NCD responses

4. What complementary resources would be needed from the private sector entity to support health authorities to overcome adequately the identified challenge(s) and attain the desired NCD goal?

For example, complementary resources could be:

- skills and operational capacity, including scalability of health programmes, services or interventions;
- data and insights;
- technological innovations;
- capital;
- other?

5. Are the additional resources (financial or non-financial) from the private sector entity clearly beneficial to complementing government's efforts to achieve its NCD goal(s)?

| Yes (provide details to the extent possible) | No | Unknown |
|-------------------------------------------------|----|---------|
| | | |

6. Based on previous questions, which private sector entity or entities could complement, through financial or non-financial resources, the public sector's efforts to address the identified NCD challenges?

Note to users

- If health authorities are not clear what complementary resources would be needed from the private sector entity and/or are unsure whether those resources would be beneficial to the NCD response, they should re-assess the need for considering private sector engagement (see Step 2).

Alignment with public health and NCD goals

7. Which of the following categories best describe the nature of the work of the private sector entity¹?

| | |
|--|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | A private sector entity that produces and/or commercializes products and/or services that contribute to the prevalence of modifiable behavioural NCD risk factors and/or have an adverse impact on the determinants of health² |
| | A private sector entity that produces and/or commercializes products and/or provides services that contribute to reducing the prevalence of NCDs and promoting health |
| | A private sector entity that is involved in manufacture and commercialization of medicines and health technologies, including digital technologies, for health and NCDs |
| | A private sector entity that is involved in the provision of health services for NCD management |
| | Other |

Note to users

- Modifiable behavioural risk factors for NCDs are tobacco use, physical inactivity, alcohol consumption and unhealthy diets. Industries contributing to the prevalence of such risk factors include tobacco, alcohol and ultra-processed food and beverage industries.

8. Has the private sector entity, or its industry, been formally excluded from engaging with the government in the past 5 years?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

9. Is there evidence that the goods, services or practices of the private sector entity harm public health objectives and outcomes³?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

1 For private sector entities that may fall into more than one category, it is important, to the extent possible, to categorize the private sector entity in relation to its core business, i.e. nature of products and services that are linked with the highest portion of revenues and brand recognition by the general public.

2 These include social, environmental and economic determinants of health.

3 Such activities refer to industry interference, defined as industry behaviours or practices that intentionally or unintentionally stop, delay or weaken progress towards the achievement of national NCD goals and SDG target 3.4 (please refer to the definition of “industry interference” in this publication).

10. Is there evidence that the private sector entity have a track record of advocacy and lobbying to oppose or delay adoption and implementation of NCD interventions?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

11. Is there evidence that the goods, services or practices of the private sector entity contribute positively to the prevention and control of NCDs?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

12. Is the government currently reviewing or developing evidence-based public health policies (e.g. WHO “best buys”) that are likely to influence the demand for the goods and/or services of the private sector entity?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

13. Is the government currently implementing evidence-based public health policies (e.g. WHO “best buys”) that are likely to influence the demand for goods and/or services of the private sector entity?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

14. Does the burden of NCDs increase the demand for goods or services of the private sector entity?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

STEP 4 Type of engagement

15. What type of engagement is most suitable for fulfilling the intended purpose (refer to step 2)?

| | | | |
|--------------------|-----------------|--------------------|--------------|
| Donation | Dialogue | Sponsorship | Grant |
| Procurement | Alliance | Partnership | Other |

STEP 5**Assessment of the local environment for private sector engagement**

16. Is there a national or subnational NCD policy, strategy or action plan that sets clear goals for the prevention and control of NCDs?

| | | |
|------------|-----------|----------------|
| Yes | No | Unknown |
|------------|-----------|----------------|

If **YES**:

- Does the policy, strategy or action plan identify areas where private sector engagement is needed to achieve NCD goals?

17. Is there any multisectoral or multistakeholder commission, agency or mechanism responsible for coordinating actions for the prevention and control of NCDs?

| | | |
|------------|-----------|----------------|
| Yes | No | Unknown |
|------------|-----------|----------------|

18. Is there indication of the government position on engagement with private sector entities for the prevention and control of NCDs (e.g. public statements or government strategies that support responsible business practices; a policy for private sector engagement in health care)?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

19. Are there any actors or groups that support private sector engagement for the prevention and control of NCDs?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

20. Are there any actors or groups opposed to private sector engagement for the prevention and control of NCDs?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

Note to users

- Actors or groups that support or oppose private sector engagement may include politicians, parliamentarians, NGOs and advocacy groups, academic institutions, professional associations, key opinion leaders, media influencers, journalists and community members, and others.

Regulatory and legal frameworks

21. Are there any regulations or laws that govern the engagement between the government and private sector entities?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

Note to users

- Laws or regulations governing the engagement between the public and private sectors may be related to: lobbying; handling donations of medicines and health technologies from private parties; management of conflict of interest and codes of conduct applicable to parliamentarians, policy-makers and civil servants; public procurement of medicines and health technologies; provision of health services; anti-trust laws; intellectual property laws and contract laws, and others.

22. Is there a relevant public authority responsible for regulating and overseeing the provision of health services by private parties?

| | | |
|------------|-----------|----------------|
| Yes | No | Unknown |
|------------|-----------|----------------|

23. Is there a relevant public authority responsible for regulating and overseeing private sector practices impacting the social determinants of health (e.g. road safety; air, water and soil pollution)?

| | | |
|------------|-----------|----------------|
| Yes | No | Unknown |
|------------|-----------|----------------|

24. Are there any official exclusionary criteria or a list of individuals and organizations that are not eligible to enter into collaboration with the public sector due to conflict of interest, non-compliance with standards, case of misconduct or criminal behaviour?

| | | |
|------------|-----------|----------------|
| Yes | No | Unknown |
|------------|-----------|----------------|

25. Does the Ministry of Health or equivalent health authority have an established procedure to request approval to engage with a private sector actor?

| | | |
|------------|-----------|----------------|
| Yes | No | Unknown |
|------------|-----------|----------------|

If **YES**, consider:

- Who is the ultimate decision-maker?
- What are the critical steps for the decision-making?
- How long does it normally take between the request and the final decision?

Experience and capacity on private sector engagement

26. Does the Ministry of Health or equivalent health authority considering a potential engagement with a private sector entity, currently have:

- staff with a track record of developing collaborations with the private sector?

| Yes | No | Unknown |
|-----|----|---------|
|-----|----|---------|

- staff with skills and competencies for developing collaboration with the private sector?

| Yes | No | Unknown |
|-----|----|---------|
|-----|----|---------|

Note to users

- Examples of skills and competences include negotiation, research, due diligence, risk assessment, project management, political acumen, strategic thinking, relationship building, diplomacy and communication, among others.

27. Does the Ministry of Health or equivalent health authority have a specialized unit or another formal structure with experience and responsibility for decision-making regarding engagement with the private sector?

| Yes | No | Unknown |
|-----|----|---------|
|-----|----|---------|

28. Does the Ministry of Health or equivalent health authority have established procedures to assess private sector practices in relation to their track record of either supporting, resisting or seeking to undermine government policies and measures to address NCD risk factors and its determinants?

| Yes (provide details to the extent possible) | No | Unknown |
|-------------------------------------------------|----|---------|
|-------------------------------------------------|----|---------|

29. Does the Ministry of Health or equivalent health authority have established monitoring and evaluation procedures to measure the performance of health-related projects that involve the private sector?

| | | |
|------------|-----------|----------------|
| Yes | No | Unknown |
|------------|-----------|----------------|

30. Is there a dedicated agency or equivalent responsible for evaluating or auditing the results of health-related projects involving the private sector?

| | | |
|------------|-----------|----------------|
| Yes | No | Unknown |
|------------|-----------|----------------|

Phase II. Analyse

STEP 6 Due diligence and risk assessment of the private sector entity

Exclusionary criteria

31. Is the private sector entity, or its industry, excluded from engaging with the government?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

Involvement in major controversies

32. Are there any indications or expressed concerns from communities, nongovernmental organizations, the media, government agencies or political parties regarding private sector entity's involvement in major controversies, locally or globally, that could harm public health and/or the government?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

33. Are there any indications of recurring organized public demonstrations, locally or globally, against the private sector entity on major controversies?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

34. Are there any indications of relevant legal claims or decisions against the private sector entity related to major controversies?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

35. Are there any indications of threatened or actual legal challenges by the private sector entity against the government in relation to public health measures?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

36. Are there any indications of practices or behaviours by the private sector entity that oppose, undermine, weaken or delay public health measures, in particular measures designed to prevent or control NCDs?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

Compatibility with principles guiding private sector engagement

Principle 1: Sustainable and responsible practices

37. Does the private sector actor have relevant policies and/or take concrete steps to promote, fair labour practices in its operations and interactions with suppliers and business partners?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

38. Does the private sector actor have relevant policies and/or a monitoring system to prevent, minimize and remedy, adverse environmental and health safety impacts of its activities?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

39. Does the private sector actor have relevant policies and/or a monitoring system to assess, the social and environmental performance of its business partners and suppliers?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

40. Does the private sector actor have relevant policies and/or take concrete steps to prevent, corruption, including extortion and bribery, at any time or in any form, in its interaction with suppliers, intermediaries, governments and business partners?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

Principle 2: Added value to the NCD response

For all private sector actors:

41. Does the private sector entity have a positive track record of complying with – and not opposing, resisting or seeking to undermine or delay – government measures, policies or laws promoting public health, and in particular those for the prevention and control of NCDs?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

42. Does the private sector actor make explicit commitments to align its business plans, actions and investments with Sustainable Development Goal #3 and/or specific national or subnational NCD goals?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

43. Does the private sector actor have relevant policies and/or take concrete steps to promote and/or create safe and healthy environments for its workers⁴?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

Note to users

- If the private sector entity is involved in the production and/or commercialization of products and/or services that contribute to (i) the prevalence of modifiable behavioural risk factors for NCDs such as tobacco use, physical inactivity, unhealthy diet, and harmful use of alcohol, and/or (ii) an adverse impact on the determinants of health, and/or (iii) a private sector entity whose goods, services or practices harm public health, government should exercise caution in proceeding with the engagement. If engagement is necessary due to implementation of public health policies and regulations, government must exercise particular caution when considering possible engagements, or engagement should be kept to a minimum and limited to consultations and dialogues.

⁴ This may include good corporate practices, implementation of occupational health measures, including by establishing tobacco-free workplaces, workplace wellness programmes and health insurance plans.

For private sector actors operating in the area of production and trade of food and non-alcoholic beverages:

44. Does the private sector entity take concrete steps to eliminate all exposure of children to the marketing of foods and non-alcoholic beverages consistent with national and/or international guidance on healthy diets [86]?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

45. Does the private sector entity have clear goals and take concrete steps to reformulate its foods and non-alcoholic beverages, where possible, consistent with national and/or international guidance on healthy diets?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

46. Does the private sector entity take concrete steps to declare nutrients in line with Codex Alimentarius guidelines on nutrition labelling [87]?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

47. Does the private sector entity comply with all applicable international and national laws and policies on food labelling, including nutrition labelling (whether the system is mandatory or voluntary)?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

48. Does the private sector entity comply with all applicable national laws and policies on marketing of foods and non-alcoholic beverages?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

49. Does the private sector entity comply with all applicable national laws and policies on food reformulation to reduce salt and/or sugars, and to eliminate trans fats?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

50. Does the private sector entity comply with all applicable national laws and policies on consumer information and protection?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

For private sector actors operating in the area of manufacture and trade of medicines and health technologies:

51. Does the private sector actor have any relevant policies, and/or take concrete steps to improve access to and affordability of, safe, effective and quality medicines and health technologies in the prevention and control of NCDs?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

52. Does the private sector entity comply with applicable national laws and policies on marketing of medicines and health technologies to providers and consumers?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

For private sector actors operating in the area of health service delivery⁵:

53. Does the private health-care provider have a record of compliance with requirements to report to the national health information and management system?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

54. Does the private health-care provider have a track record of adhering to quality and safety standards as defined by relevant regulatory authorities?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

⁵ These may include private hospitals, private health centres, private pharmacies, private diagnostic centres, private clinics, traditional healers, informal practitioners and private health insurers (adapted from Ref. [4]).

55. Does the private health-care provider currently hold a license issued by a relevant national authority to provide health services?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

56. Is the private health-care provider accredited by a relevant national or international authority?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

57. Does the private sector actor have any relevant policies or practices regarding patient-centric care and respect for patients' rights in relation to dignity, privacy and confidentiality?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

58. Does the private health-care provider have relevant policies, structures or activities that contribute to evidence-based practice and quality improvement of its services [88, 89]?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

Principle 3: Accountable and transparent governance

59. Does the private sector actor publicly disclose the composition of its board members, shareholders and/or investors, donors and funding sources?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

60. Does the private sector actor have board members, shareholders and/or investor not at arm's length to other private sector actors that are excluded from engagement by the government?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

61. Does the private sector actor disclose financial information, including, for example, tax returns and financial statements in accordance with applicable laws?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

62. Has the private sector actor complied in the past with the terms of engagement and conditions agreed upon with the public sector, including any government sector or agency?

| | | |
|------------|-----------|----------------|
| Yes | No | Unknown |
|------------|-----------|----------------|

63. Does the private sector actor have relevant policies or procedures on compliance, ethics and accountability that include appropriate practice and behaviour regarding interactions with public officials?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

64. Does the private sector actor offer relevant training for its staff and partners on appropriate practice and behaviour regarding interactions with public officials?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unknown |
|--------------------------------------------------------|-----------|----------------|

STEP 7 Risk assessment of the engagement

65. What is the likelihood of the following risks to occur as part of the engagement and, in the event of their occurrence, what impact will they have on the government's ability to maintain its integrity and independence?

Template for a risk assessment matrix

| | | Risk likelihood | | | Risk impact | | | |
|----------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|-----|--------|-------------|-----|--------|------|
| | | Not applicable | Low | Medium | High | Low | Medium | High |
| Conflict of interest risks | | | | | | | | |
| R1 | Monetary or material resources mobilized through the engagement with private sector entities have the potential to influence unduly the judgement or action of the health authorities (actual conflict of interest). | | | | | | | |
| R2 | Non-monetary influences related to the engagement have the potential to exert, or be reasonably perceived to exert, undue influence over the judgement or action of health authorities (perceived conflict of interest). | | | | | | | |
| R3 | The engagement may facilitate access of private sector entities to decision-makers, policy-making or policy-implementation processes and thereby put those entities in a position to unduly influence policy development or outcomes in ways that are inconsistent with public health goals and may undermine, weaken or delay NCD prevention measures. | | | | | | | |
| Reputational risks | | | | | | | | |
| R4 | The due diligence outcomes reveal bad reputation of the entity, bad press and/or involvement in major controversies. This may be prejudicial or damaging to the government, if a collaboration is pursued with the private sector entity. | | | | | | | |
| R5 | The engagement may give the private sector entity an unfair advantage over other competitors and disrupt fair competition, thus damaging the perception of the public sector as independent and impartial. | | | | | | | |
| R6 | The engagement may produce benefits for the private sector that subjectively outweigh the positive public health or social impact. | | | | | | | |
| R7 | The engagement may imply a government's endorsement of the private sector entity or its products or services. | | | | | | | |

| | | Risk likelihood | | | Risk impact | | | |
|-------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|-----|--------|-------------|-----|--------|------|
| | | Not applicable | Low | Medium | High | Low | Medium | High |
| Governance risks | | | | | | | | |
| R8 | The power imbalance between the public and private sectors may create situations where the private sector entity unduly oversees and influences government policies and decisions. | | | | | | | |
| R9 | The engagement may undermine public sector's leadership and credibility in developing and implementing evidence-based public health policies. | | | | | | | |
| R10 | The engagement may affect, or be seen to affect, the public sector's independence in identifying its own NCD priorities and/or implementing and enforcing NCD measures. | | | | | | | |
| R11 | The terms of the engagement may restrict the government's ability to work with other entities. | | | | | | | |
| Political risks | | | | | | | | |
| R12 | The engagement may be cancelled unexpectedly due to changes in policies, laws or regulations, affecting commitments made by health authorities. | | | | | | | |
| R13 | Changes in the government (e.g. elections, reform of public services, emergencies) may result in loss of political support, delays or the termination of the engagement. | | | | | | | |
| R14 | Changes in the leadership of the private sector entity may result in loss of support, delays or the termination of the engagement. | | | | | | | |
| Operational risks | | | | | | | | |
| R15 | The public sector may not have the resources to assess the engagement adequately, manage it effectively, exercise operational authority over it and/or deliver on the engagement's goals. | | | | | | | |
| R16 | The engagement may weaken, delay or otherwise have a negative impact on the effectiveness of current or future NCD interventions, and/or other health and social policy areas. | | | | | | | |
| R17 | The engagement may require additional and/or continuous public financial commitments beyond the planned activities. | | | | | | | |
| R18 | The private sector entity may not have the capacity and financial resources needed to meet the goals of the engagement. | | | | | | | |

STEP 8 Development of risk mitigation strategies

66. Based on the risk magnitude matrix, which risks (e.g. medium, high and critical risks) require risk mitigation strategies?
(see Figure 3 in the main document for an example of risk magnitude matrix)

67. What are the risk mitigation measures that can be developed to minimize the identified risks?
(see Table 5 in the main document for examples of risk mitigation measures)

Phase III. Decide

STEP 9 Development of a risk management plan

NCD challenge

68. Have the challenges that hinder the progress towards achieving the NCD goals been identified?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unclear |
|--------------------------------------------------------|-----------|----------------|

69. Does the government require complementary resources (financial or non-financial) from the private sector to address the NCD challenge(s)?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unclear |
|--------------------------------------------------------|-----------|----------------|

If **YES**, users should be able to answer the following questions:

- What is/are the NCD goal(s)?
- What are the challenges faced by the government to achieve the NCD goals?
- When is the intended deadline for achieving the NCD goals?
- How is the progress toward achieving NCD goals being monitored?

If **NO** or **UNCLEAR**, users should review again step 1 and step 2 in Phase I before making a decision on the engagement.

Type of engagement

70. Is the selected type of engagement the most appropriate for the purpose of the engagement?

| Yes (provide details to the extent possible) | No | Unclear |
|-------------------------------------------------|----|---------|
|-------------------------------------------------|----|---------|

If **YES**, users should be able to answer the following questions:

- What are the expected contributions from the private sector entity to support government in addressing the NCD challenges(s) (see step 2)?
- Which specific resources will be mobilized from the private sector entity for this potential engagement (see step 4)?
- Which type of engagement was selected to mobilize those resources (see step 4)?

If **NO** or **UNCLEAR**, users should review again steps 2 to 4 in Phase I before making a decision on the engagement.

Local capacity

71. Does the government have sufficient understanding of the political leadership, regulatory and legal frameworks, as well as experience and capacity in developing and implementing private sector engagement?

| Yes (provide details to the extent possible) | No | Unclear |
|-------------------------------------------------|----|---------|
|-------------------------------------------------|----|---------|

If **YES**, health authorities should have answered the questions in Phase I, step 5.

If **NO** or **UNCLEAR**, users of the tool should review step 5 in Phase I again before making a decision on the engagement.

Profile of the private sector actor

72. Based on the due diligence, is the private sector actor classified as suitable for a potential engagement?

| Yes (provide details to the extent possible) | No | Unclear |
|-------------------------------------------------|----|---------|
|-------------------------------------------------|----|---------|

If **YES**, users must be able to confirm the following (see step 6):

- The private sector actor is not excluded from engagement with the government.
- The private sector actor is not involved in major controversies.
- The private sector actor is aligned with the three core principles guiding private sector engagement.

If **NO** or **UNCLEAR**, users should review again step 6 in Phase II before making a decision on the engagement.

Monitoring of critical and high risks

73. Do all relevant risks, including those categorized as critical” and “high risks have corresponding mitigation strategies?

| | | |
|--------------------------------------------------------|-----------|----------------|
| Yes (provide details to the extent possible) | No | Unclear |
|--------------------------------------------------------|-----------|----------------|

If **YES**, users should be able to identify and describe the mitigation strategies for each risk, as required:

- What risk mitigation measures are in place?
- Who will be responsible for implementing and monitoring the risk mitigation measures?
- Are resources available to implement the risk mitigation measures?
- If unforeseen risks arise, what will be the contingency plan?

If **NO** or **UNCLEAR**, users should review again step 8 in Phase II before making a decision on the engagement.

Template for a risk mitigation matrix

| Risks | Risk magnitude | Mitigation measures |
|--------------------------------------------------|----------------|---------------------|
| Conflict of interest risks (add risks) | | |
| Reputational risks (add risks) | | |
| Governance risks (add risks) | | |
| Political risks (add risks) | | |
| Operational risks (add risks) | | |

STEP 10 **Decision on engagement**

74. Does the Ministry of Health or equivalent health authority have the capacity and resources to implement the required mitigation measures?

| | |
|------------|-----------|
| Yes | No |
|------------|-----------|

75. Do the expected benefits from the engagement justify its risks?

| | |
|------------|-----------|
| Yes | No |
|------------|-----------|

If **NO** = No engagement or disengagement with the private sector entity

