



Standards of Business Conduct and Employees Declarations of Interest Policy

This procedural document supersedes: CORP/FIN 4 v.3 - Standards of Business Conduct and Employees Declarations of Interest Policy



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Author/reviewer: (this version)	Mark Bishop, Local Counter Fraud Specialist
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Amendment Form

Please record brief details of the changes made alongside the next version number. If the procedural document has been reviewed **without change**, this information will still need to be recorded although the version number will remain the same.

Version	Date Issued	Brief Summary of Changes	Author
Version 4 (amended)	8 July 2016	Section 5.3 and Hospitality Flow Chart updated to reflect the new process for catering/hospitality requests.	Mark Bishop
Version 4	4 April 2016	<ul style="list-style-type: none"> • Minor amendments to titles etc. • Inclusion of updates to cover the 'Sunshine rules' for sponsorship (see 4.2) • Addition of lottery tickets and wills & legacies (see 5.1) • Dealing with existing or potential suppliers hospitality (see 5.2) • Pharmaceutical sponsorship insertion of new ABPI code of practice link • Employee declarations of Interest minor amendments (see 5.6) • Additional wording in relation to Favouritism in Awarding Contracts (see 5.11) 	Mark Bishop
Version 3	7 August 2014	<ul style="list-style-type: none"> • Change in Author • Minor amendments to terminology and titles • Re-wording to encompass all business interests • Addition of Secondary Employment declaration form • Re-formatting of policy layout to accord with current guidance • Addition of Flowcharts 	Mark Bishop
Version 2	January 2013	<ul style="list-style-type: none"> • Housekeeping mainly job title updates. • New style Trust format in accordance with CORP/COMM 1 	Jon Goodison
Version 1	March 2010	<ul style="list-style-type: none"> • This is a new procedural document - PLEASE READ IN FULL. 	Jon Goodison

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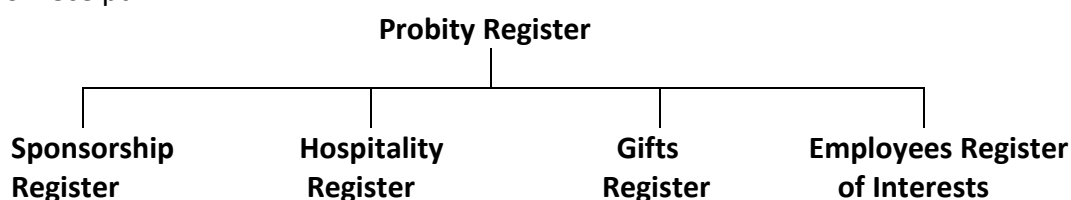
1. INTRODUCTION

This policy applies to those members of employees that are directly employed by DBH and for whom the DBH has legal responsibility. For those employees covered by a letter of authority/honorary contract or work experience this policy is also applicable whilst undertaking duties on behalf of DBH or working on DBH premises and forms part of their arrangements with DBH. As part of good employment practice, agency workers are also required to abide by DBH policies and procedures.

It is a long established principle that public sector bodies, which include the NHS, must be impartial and honest in the conduct of their business, and that their employees should remain beyond suspicion. Doncaster and Bassetlaw Hospitals NHS Foundation Trust (DBH) therefore adopts a transparent approach to all its activities, which are undertaken in line with the 7 Nolan Principles (Appendix 1).

It is the responsibility of employees to ensure that they are not placed in a position which risks, or appears to risk, conflict between private interests and duties. This primary responsibility applies to all NHS employees. In support of this transparent process, DBH has a “Probity Register” which publicly details sponsorship, commercial relationships and items or gifts received by or offered to employees. This document is available for inspection by the public at any time. It is also subject to audit inspection at any time, and its contents will be reviewed in an annual report on the subject to be made to the Audit and Non Clinical Risk Committee.

The Probity Register contains an “Employees Register of Interests” in which all DBH employees and persons affiliated with DBH, register their financial interest with non NHS organisations. All information sent for the Probity Register will be added as soon as possible but certainly within 2 weeks of receipt.



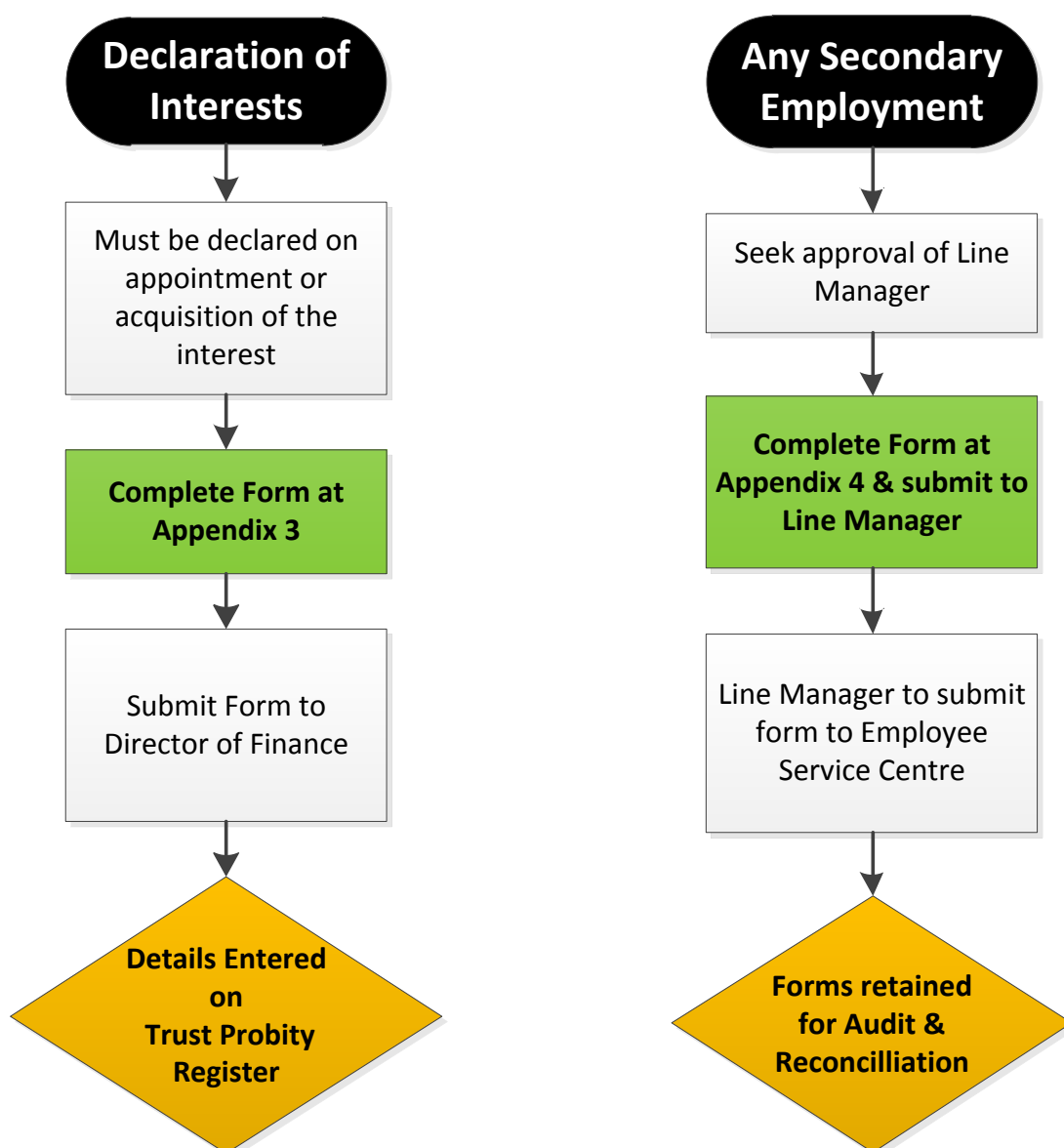
2. PURPOSE

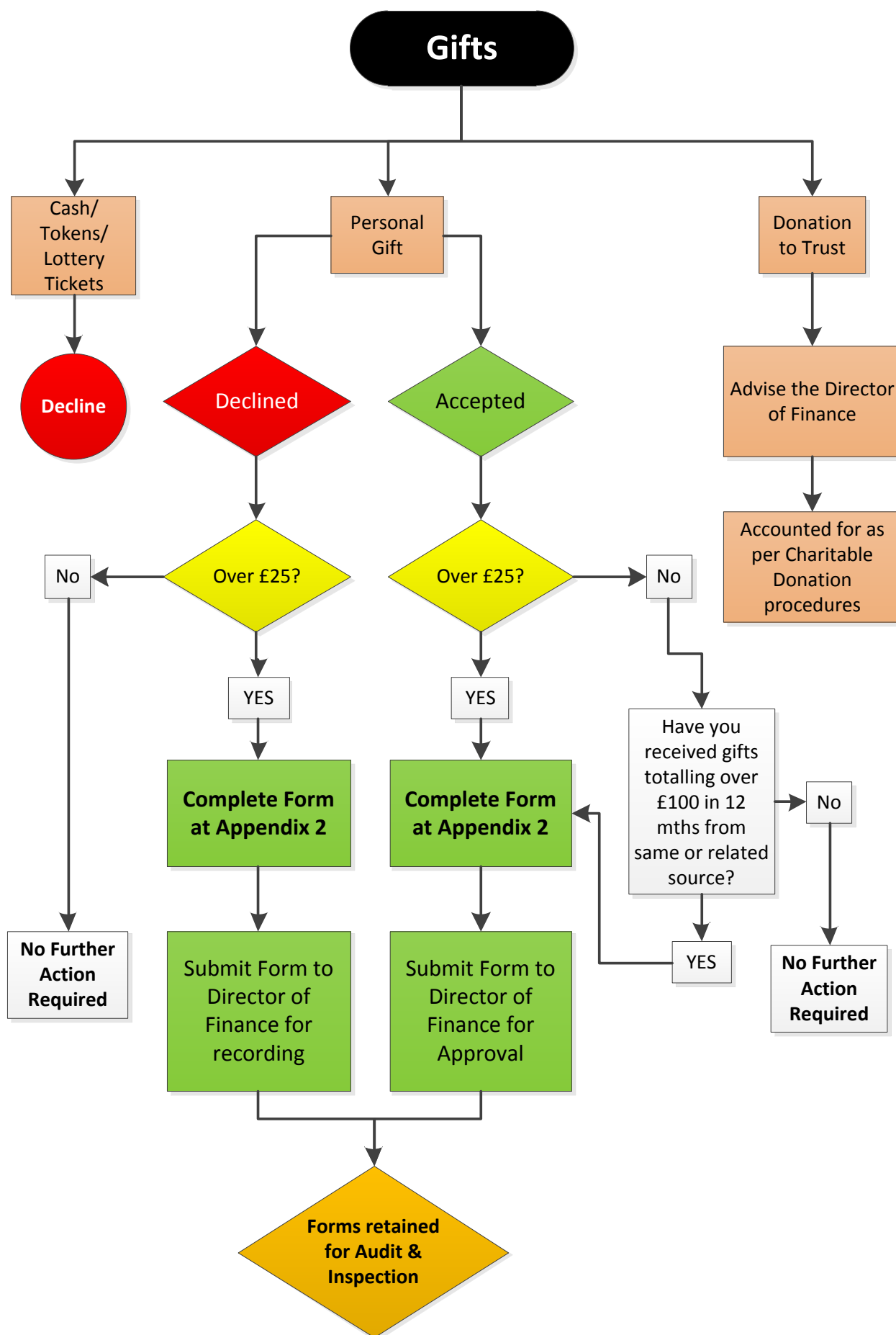
The purpose of this policy is to ensure that all employees maintain the highest standard of public accountability and are open and transparent in their business conduct by:

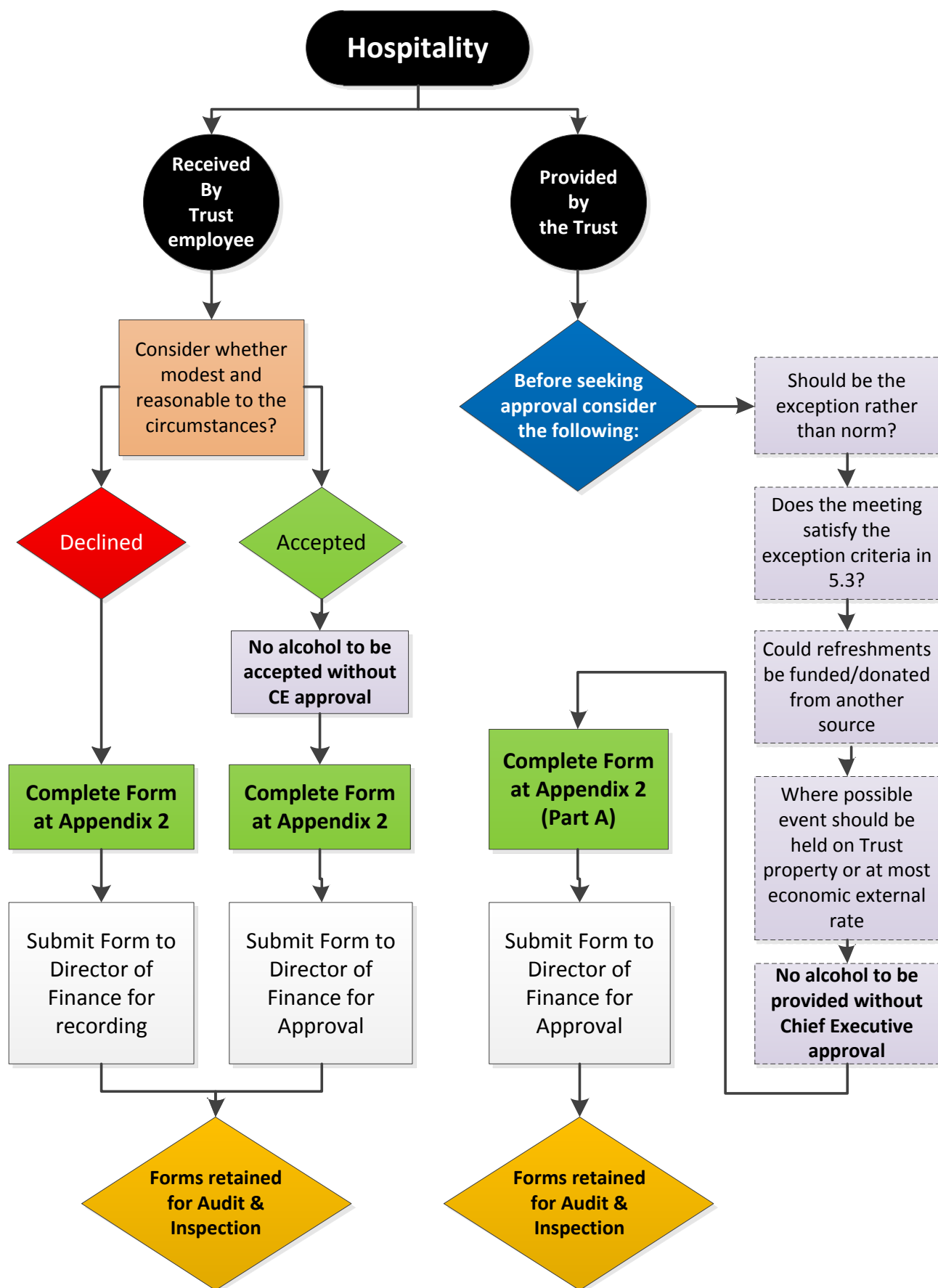
- ensuring awareness of the correct procedure and forms to complete in the event of being offered sponsorship, gifts, hospitality, or outside monies;
- providing guidance to employees when they are required to provide professional advice and/or services, for a fee, to a non NHS organisation;
- ensuring DBH maintains an accurate record of all the above and the Register of Interests via the Probity Register;
- encouraging openness and transparency in the declaration process.

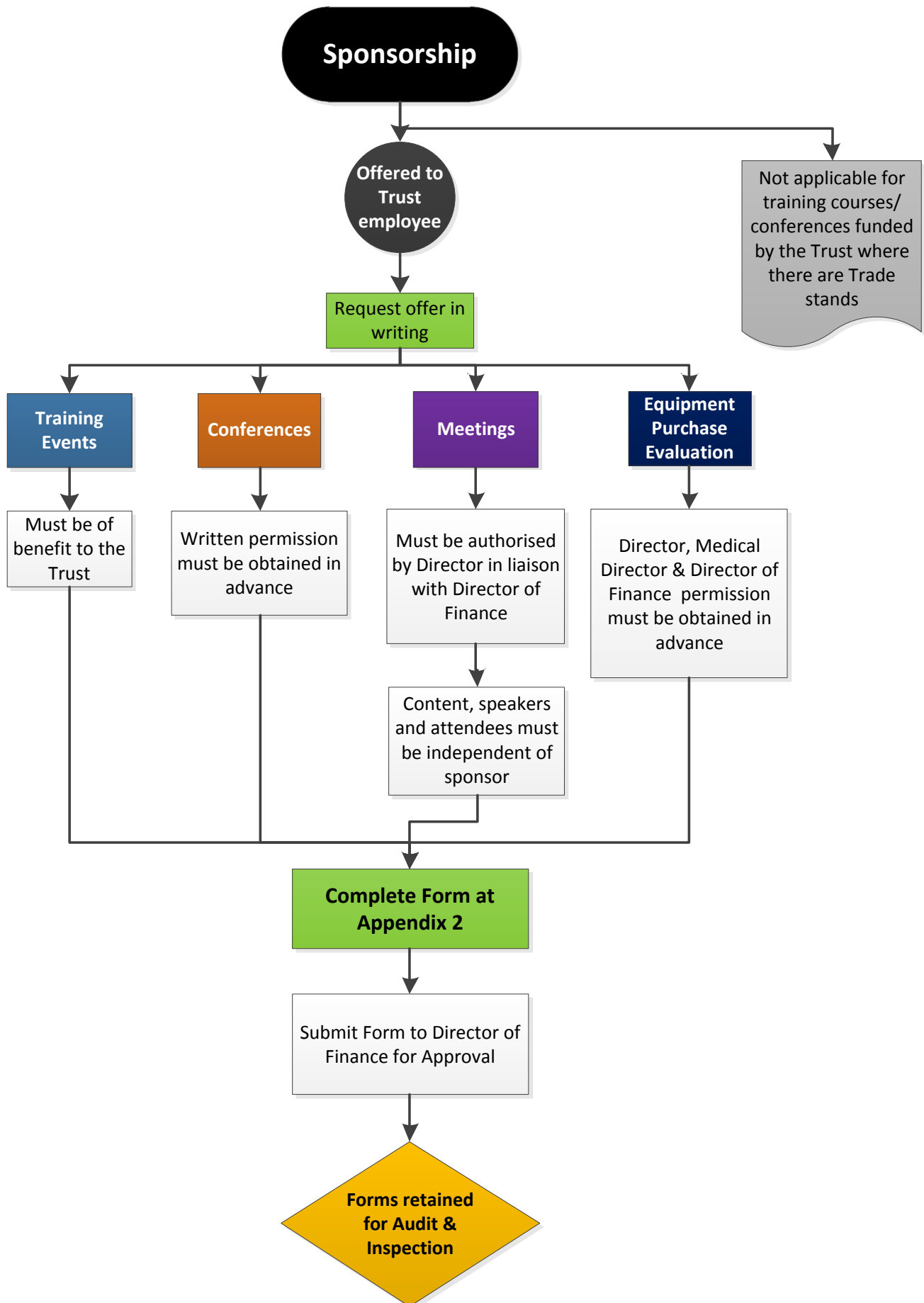
3. FLOWCHARTS

To provide a quick reference guide the following flowcharts set out the basic procedures to be followed for each specific event. The narrative elements of the policy should be read in full for a detailed explanation of requirements and reporting guidance.









4. DUTIES AND RESPONSIBILITIES

4.1 The Trust and All Employees

The business decisions made by DBH and the actions of its employees must be ethical and in full compliance with legal requirements. These Standards of Business Conduct reflect our continued commitment to ethical business practices and regulatory compliance. By following the standards provided in this document, we are acknowledging our responsibilities to manage our activities with integrity.

- The **Chief Executive** is ultimately responsible for ensuring there is a an effective system in place for employees to declare Sponsorship, Gifts, Hospitality, outside income and any other interests, and also to minimise professional liability risks.
- The **Director of Finance** has the following delegated responsibility:
 - ensuring this Policy is adhered to;
 - maintaining the Probity Register including logging Gifts and Hospitality Forms and Declaration of Interest Forms in the Register;
 - ensuring adequate records are kept for audit requirements;
 - provision of advice and information relating to sponsorship, gifts, hospitality, declarations of interest and professional advice and services to employees.
- **All Employees** have the responsibility to comply with this policy. In addition, all employees must ensure they are not placed in a position which risks, or appears to risk, conflict between their private interests and their NHS duties, whether this is direct or indirect. Where applicable, employees must also adhere to their own professional Codes of Conduct in this area.

Where there is any uncertainty regarding the contents of this Policy, confirmation should be sought from the Director of Finance.

4.2 Legislation and Guidance

It is an offence under the Bribery Act 2010 both for anyone to receive, be offered or to offer any financial or other advantage to another person in order to induce a person to perform improperly or reward any person for improper performance of a function or activity. This includes breaches in expected performance. A breach of this Act renders employees liable to prosecution and may also lead to loss of their employment. It is also an offence under Section 3 of the Fraud Act 2006 for an employee to fail to disclose information to an employer to make a gain for themselves or another or to cause a loss or expose the Trust to the risk of loss. Additionally, Section 4 of the same Act provides that it is also an offence for an employee who occupies a position in which they are expected to safeguard or not act against the financial

interests of the Trust, to abuse that position to cause a loss or expose the Trust to the risk of loss.

In August 2015 the Health Secretary announced a tightening of the rules which will come into force in 2016 relating to the recording of the receipt of gifts (including cash payments) and hospitality by NHS organisations and their employees from pharmaceutical and medical device companies. This is being referred to as the 'Sunshine Rule' (following a similar initiative introduced in the US in 2013) and is designed to ensure transparency around relationships between such companies and the NHS. From 2016/17 the requirement for NHS organisations to maintain such records will be written into the NHS standard contract. **NHS staff found not complying with the requirement to declare gifts and hospitality could be subject to disciplinary action and more serious allegations involving fraud, bribery or corruption will involve criminal investigations and prosecutions where appropriate.**

Linked to this, in addition to the requirement for NHS staff to declare gifts and hospitality, etc. to their NHS employer, a new national database will be made publicly available by the Association of the British Pharmaceutical Industry (ABPI) from June 2016. This searchable database will show details of benefits given in cash or in kind (termed 'transfers of value') by pharmaceutical companies to healthcare organisations and individual healthcare professionals. The public ABPI record will be able to be cross matched against the Trust's own records of declarations of gifts and hospitality, etc and will identify where employees are failing to formally declare such relationships to the Trust.

4.3 Review & Dissemination

The Standards of Business Conduct Policy will be reviewed every 3 years or earlier where the following necessitates:

- Legislative changes
- Good practice guidance
- Case law
- Significant incidents reported
- New vulnerabilities identified
- Changes to organisational infrastructure

The Standards of Business Conduct Policy is located on the Trusts intranet.

3.4 Fraud and Probity

In accordance with the details set out in this policy, the Trust expects all employees to act with honesty and probity. Failure to comply with the policy will may result in disciplinary action being taken in accordance with the Disciplinary Policy. Where the allegation is serious the matter should be referred appropriately in accordance with the Fraud, Bribery and Corruption Policy and Response Plan or by calling the confidential NHS Fraud & Corruption Reporting Line on: **0800 028 40 60** or by reporting it at: www.reportnhsfraud.nhs.uk.

5. PROCEDURES

5.1. Gifts

With the exception of items of little value (less than £25) such as diaries, calendars, flowers and small tokens of appreciation (including seasonal gifts), which may be accepted, all offers of gifts should be declined. However, such articles of low intrinsic value as described above or small tokens of gratitude from patients or their relatives need not necessarily be refused. A series of small gifts, received from the same or related source, over a 12 month period, with accumulated worth of greater than £100.00 **must be registered**. In cases of doubt, employees should consult their line manager.

Any personal gift of cash or cash equivalents (e.g. tokens, gift vouchers and lottery tickets) must be declined whatever its value.

All gifts received or offered above the £25 threshold (or where doubt exists) must be declared using the form at Appendix 2 so that a record can be made in the Probity Register to ensure openness and transparency.

Where possible the forms should be completed and approved in **advance** of receiving any gift. This form should be sent to the Director of Finance.

The following need NOT be declared:

- Income generation schemes, which are managed and logged separately.
- Discounts on pharmaceuticals, which are managed and logged separately.

Where employees have any concern as to the potentially excessive value of a gift offered or the pressure to accept any gift is particularly high or where refusal might cause offence they should seek advice from their Director or the Director of Finance. Employees should at all times be aware that the Code of Conduct for NHS Managers seeks to ensure that the best interests of the public and patients/clients are upheld in decision making and that decisions are not improperly influenced by gifts or inducements.

Gifts in the form of a donation of money to DBH should be communicated immediately to the Director of Finance. Generally, such donations will be deposited in DBHs charitable fund.

Wills and Legacies. Where a member of staff is a beneficiary to a Will of a patient who has been under their care, the member of staff must declare this using the form at Appendix 2 and inform the Director of Finance, through their line manager so that consideration can be given as to whether or not it is appropriate in all circumstances for that member of staff to retain the gift(s) in order to avoid subsequent claims by the beneficiaries of the estate of inducement, reward or corruption.

Gifts which have been received without approval contained in Appendix 2 will be returned to the donor by the Trust. Where the donor cannot be traced the gift will be donated to an appropriate charity.

5.2 Hospitality

Employees must not under any circumstances accept any hospitality from existing or potential suppliers which may, or be capable of being construed as, being able to influence a purchasing decision or cast doubts on the integrity of such decisions. This includes site visits to inspect equipment at the expense of the supplier. The Trust should meet the costs of an inspection visit so as to avoid putting in jeopardy the integrity of subsequent purchasing decisions.

Modest hospitality, provided it is normal and reasonable in the circumstances, e.g. lunches in the course of working visits, may be acceptable, though it should be similar to the scale of hospitality which the NHS as an employer would be likely to offer. All hospitality will be recorded into the Probity Register maintained for this purpose to ensure probity, openness and transparency.

Employees should decline all other offers of hospitality or entertainment and record all offers **(whether accepted or declined)** using the attached form at Appendix 2.

Any potential hospitality which falls outside the scope of this policy, and which is linked to an unconditional desired benefit for DBH (such as employee training) should be agreed with the employee's Director in advance and notified, where appropriate through the Trust Board in accordance with the usual arrangements for declarations of hospitality.

5.3 Provision of Hospitality by the Trust

To ensure financial constraint on the provision of hospitality it should be considered as an exception rather than the norm. The general exceptions are:

- Where the meeting includes external attendees or visitors from other organisations or members of the public, where it is important to provide some form of hospitality (e.g. external funders, potential delivery partners, ministerial or VIP visits).
- Where the meeting is to provide support, care or compassion to relatives or family members.
- Potential exceptions at a local level should be discussed with Care Group/Corporate Directors before approval.

In general terms the hospitality should be confined to simple cost effective items such as tea, coffee or water at meetings that fit the exception criteria. The provision of any food would need to meet the exception criteria and would need significant justification such as where attendees do not work within the Trust, have travelled some distance to the meeting or where it straddles a normal mealtime and attendees would be unlikely to have reasonable time to take refreshments either prior to or after the meeting. Where exceptions are valid, it is appropriate to consider whether refreshments/funding could be sponsored or donated, in line with the provisions set out in this policy.

Whenever possible, meetings should be arranged within DBH premises. If this is not possible, the meeting should be arranged at the most economic external rate, taking into account room charges and refreshment charges.

It is not appropriate for DBH to provide or accept alcohol as part of hospitality at any time, except in exceptional circumstances and with the prior approval of the Chief Executive.

5.4 Sponsorship

Any person covered by this policy who receives an approach regarding any other sponsorship should request that the details be put in writing, upon receipt Appendix 2 should be completed. For regular sponsorship i.e. not a one off event, a written Sponsorship Agreement will also be required. All sponsorship will be recorded into the Probity Register maintained for this purpose to ensure probity, openness and transparency.

- **Training Events.** Employees may be offered attendance at general courses or conferences sponsored by or at the request of an individual or organisation. All such offers must provide for a clear and transparent benefit to the Trust. Any events which rely heavily on the use of sponsored materials, should be discouraged unless they promote good practice agreed to by DBH.
- **Conferences.** Acceptance by employees of commercial sponsorship for attendance at relevant conferences and courses is acceptable but only where the employee seeks written permission in advance from an appropriate Director and the Trust is satisfied that acceptance will not compromise purchasing decisions in any way.
- **Sponsorship of Meetings.** Sponsorship of meetings, management or educational events may be authorised by the appropriate Director in consultation with the Director of Finance, provided that the content of the programme, speakers and attendees are independent of the sponsor(s). If separate from the purpose of the meeting, sponsor(s) may use the event for publicity. Sponsor(s) will be acknowledged for their support.

This procedure does not apply to training courses / conferences where attendance by employees has been funded by the Trust and at which there are trade stands.

When the Trust considers it necessary for employees advising on the purchase of equipment to inspect such equipment in operation in other parts of the country (or exceptionally overseas), the relevant Director, Director of Finance or Medical Director should be advised **in advance** and the Trust will consider meeting the cost so as to avoid putting in jeopardy the integrity of subsequent purchasing decisions.

5.5 Sponsorship Agreements

Pharmaceutical Sponsorship. All pharmaceutical companies entering into sponsorship agreements must comply with the Association of the British Pharmaceutical Industry (ABPI) Code

of Practice, which can be found at the following link <http://www.abpi.org.uk/our-work/library/guidelines/Pages/060115.aspx> and must pay due regard to the requirements of The Human Medicines Regulations 2012 in relation to inducements and hospitality.

Any sponsorship agreements with pharmaceutical companies will require the advice of DBHs Prescribing Lead before authorisation by the Director of Finance. All collaborative partnerships between DBH and the pharmaceutical industry, charitable sector or non NHS organisations must comply with current legislative and regulatory guidance. Participation in a collaborative pharmaceutical partnership does not in any way suggest DBH endorsement of any product, only that the product is in line with DBH prescribing policy at the time.

Sponsorship Agreements – General. All Employees and Board members involved in the development of a sponsorship agreement must declare any prior interest in terms of previous sponsorship or relationship to any of the individual sponsors in question. In addition the following should be adhered to:

- All collaborative partnerships will follow formal process and have written agreement explicitly stating the contributions from all parties – specifically resources, outcomes, publication of any such outcomes and an opt out clause for each party.
- Appropriateness and full impact of provision of free or discounted materials should be fully investigated prior to entering any such agreement, including continuance of such provision.
- DBH prefers to work collaboratively with several partners, however in the event this is not possible a formal tendering process will be adopted. All companies whose products deliver care and/or services in the relevant area will be approached for involvement following the Trusts Standing Orders and Standing Financial Instructions.
- DBH will not participate in any collaborative partnership which links sponsorship to a particular product and/or service.
- Potential sponsors must be informed that any agreement will have no effect on purchasing decisions, the use of particular products, or the DBH Formulary.
- Proposals which link sponsorship to the purchase, volume, or use of any particular product must be refused, and must be reported to the Board.
- Officers or representatives must also refuse proposals which require employees to recommend the sponsor's products to patients, where these are considered not the best for the patient.

Sponsorship which involves the exchange of patient information must be approved by DBHs Caldicott Guardian.

5.6 Employee Declarations of Interest

The Trust has a legal duty to prevent bribery, corruption and fraud and all employees are required to demonstrate the highest standards of probity and transparency, in line with the Trust's contracts of employment.

All employees **must** declare **all** instances where they, a close relative or associate, has a controlling and/or significant personal interest (including friendships) in any business, or any other activity or pursuit, which may compete for an NHS contract to supply goods or services. Additionally, the Trust expects employees to similarly declare personal interests (including directorship or other appointments) in any business venture or activity that could be perceived to have a connection to healthcare provision or in any way be linked to their main employment with the Trust (e.g. provision of private treatment, private nursing or residential home)..

All employees therefore have to declare such interests to the Trust, either on starting employment or on acquisition of the interest.

For all employees (with the exception of the Trusts Board of Directors including Non-Executive Directors and Governors), any such interests must be declared on the attached “Employees Declaration of Interest” form (Appendix 3). They will then be recorded in the Register of Interest section of DBHs Probity Register.

The procedure for Board of Directors including Non-Executive Directors and Governors to declare interests is described in detail in DBHs Standing Orders, Section 6. This Policy should be referred to for more details about registering interests.

5.7 Secondary Employment

No DBH employee may, without the consent of their Line Manager engage in any secondary employment whether connected to their NHS employment or not as the Trust must be satisfied that there are no conflicts of interest or health and safety implications for the employee or their colleagues or service and that this other work does not have an adverse effect on their Trust employment.

Consent will not be unreasonably withheld provided that:

- It is not undertaken at times when the employee's contract is considered to be in operation;
- the additional employment does not have an adverse impact upon their DBH contractual duties;
- the additional employment is not considered to be in competition with DBH for the provision of services;
- Where the total hours of work exceed, or are likely to exceed, the European Working Time Directive, the employee signs the appropriate declaration to work additional hours available from their Line Manager or from Human Resources.

Where DBH employment is on the basis of part-time or ad-hoc hours, such as Clinical Advisors or ‘bank’ nursing, the employee should obtain a single authorisation from their Line Manager covering the range of their external bank/part-time employment. This will prevent the need for separate authorisation for each period of employment.

Consultants, Associate Specialists and Specialty Doctors may undertake private practice, provided that:

- they do not do so within the time they are contracted to the Trust;

- they observe the conditions detailed in the previous paragraphs;
- the conditions outlined in the handbook “A Guide to Management of Private Practice in the NHS” is adhered to;
- the provisions of Schedule 9 of the National Terms and Conditions of Service together with the “Code of Conduct for Private Practice” which sets out standards of best practice governing the relationship between NHS work, private practice and fee paying services are followed.

Before accepting any new employment, employees must discuss this with their Line Manager prior to accepting the additional work. All employees must keep their Line Manager directly informed of any material changes in outside working practices or working hours.

All employees must inform their line manager about any current employment outside of the Trust using the Secondary Employment Declaration Form at Appendix 4.

New appointees to the Trust must disclose any existing jobs which will continue after the commencement of employment and complete Appendix 4 as requested by the Recruiting Manager or their Line Manager.

Line Managers should ensure that all completed forms are sent to the Employee Service Centre where a central file will be maintained for audit and reconciliation purposes.

Employees are reminded that if they work for a second employer while off sick or on a ‘staged return’ from their normal place of employment without permission this may be considered fraudulent behaviour and as such could result in disciplinary action being taken including dismissal and may lead to prosecution and civil recovery proceedings.

5.8 Professional Advice and Services Provided

Professional liability occurs when a service is provided to a third party outside of the NHS or to another NHS organisation. Professional advice and services can be provided across a wide spectrum, which not only include clinical/medical services but also a number of the other services/professions found within the NHS, such as, pathology, fire prevention, health promotion, prescribing and orthodontics. Professional liability arises where advice or a service is supplied to a third party. Third party, in this context, should mean any organisation, company or individual outside of the local health and social care community or any private sector organisation.

Where any employee is requested to support, contribute or assist any private or non-NHS organisation (other than within the local health and social care community) they should seek the approval of the Director of Finance before doing so.

Any payment or honorarium offered to employees in their capacity as employees of the Trust for doing so should be accepted and paid directly to DBH and advised to the Director of Finance. It should be noted that not all advice and services are covered by DBH insurance scheme (NHSLA). Guidance can be found in the scheme rules on the NHS Litigation Authority website www.nhsla.com.

Where services are being provided for a fee to a third party, then there must be clear terms and conditions for the supply of all services by the organisation, and this should be contained within standard terms and conditions. Information and guidance regarding terms and conditions for the supply of certain services to non-NHS bodies is available from the General Manager of Supplies and Procurement. The Director of Finance must review all contract arrangements prior to completion.

Healthcare organisations often loan equipment to other similar organisations or patients. It is important to be clear about where responsibility for liability lies, and that there are suitable systems in place for the tracking of loaned equipment. The Trust Policy for the Use of Medical Equipment Used “on trial/on-loan” must be consulted for guidance.

5.9 Preferential Treatment in Private Transactions

Individual employees must not seek or accept preferential rates or benefits in kind for private transactions carried out with companies with which they have had, or may have, official dealings on behalf of DBH. (This does not apply to concessionary agreements negotiated with companies by NHS management, or by recognised employees’ interests, on behalf of all employees – for example, NHS employee benefits schemes).

Goods should not normally be delivered to the Trust for personal use, except for those employees and their family members who reside onsite, in DBH premises.

5.10 Contracts

All employees who are in contact with suppliers and contractors (including external consultants), and in particular those employees who are authorised to sign Purchase Orders, or place contracts for goods, materials or services, are expected to adhere to professional standards of the kind set out in the Ethical Code of the Chartered Institute of Purchasing and Supply (CIPS) and the Trust’s Standing Orders/Standing Financial Instructions.

The Trust will ensure that all invitations to potential Contractors and Suppliers to tender or quote for business include a notice warning them of the consequences of engaging in any corrupt practices involving employees of public bodies. For tenders to be considered they must be received with a declaration of bona fide tendering.

5.11 Favouritism in Awarding Contracts

Fair and open competition between prospective contractors or suppliers for NHS contracts is a requirement of NHS Standing Orders and of EC Procurement Rules. This means that:

- No private, public or voluntary organisation or company which may bid for NHS business should be given any advantage over its competitors, such as advance notice of NHS requirements. This applies to all potential contractors, whether or not there is

a relationship between them and the NHS employer, such as a long-running series of previous contracts.

- Each new contract should be awarded solely on merit, taking into account the requirements of the NHS and the ability of the contractors to fulfil them.

The Trust will ensure that no special favour is shown to current or former employees or their close relatives or associates in awarding contracts to private or other businesses run by them or employing them in a senior or relevant managerial capacity. Contracts may be awarded to such businesses where they are won in fair competition, but scrupulous care must be taken to ensure that the selection process is conducted impartially, and that employees who are known to have a relevant interest play no part in the selection.

DBH employees need to ensure that they show no special favour to contractors, friends, current or former employees, close relatives or associates when awarding contracts or orders.

All employees who are in contact with suppliers and contractors (including external consultants), and in particular those employees who are authorised to sign purchase orders, or place contracts for goods, materials or services, are expected to adhere to professional standards of the kind set out in the Code of Ethics of the Chartered Institute of Procurement and Supply (CIPS) and the Trust Constitution/Standing Financial Instructions.

The Trust will ensure that all invitations to potential contractors and suppliers to tender or quote for business include a notice warning them of the consequences of engaging in any corrupt practices involving employees of public bodies. For tenders to be considered they must be received with a declaration of bona fide tendering.

6. TRAINING/ SUPPORT

Employees will receive instruction and direction regarding this policy from a number of sources, including but not limited to:

- Policy/Strategy and Procedure Manuals
- Line Managers
- Other communication methods (e.g. Staff Brief/team meetings)
- Trust Website / Intranet
- Training sessions including Fraud Awareness Training
- Staff Handbook
- Staff Brief

7. MONITORING COMPLIANCE WITH THE PROCEDURAL DOCUMENT

What is being Monitored	Who will carry out the Monitoring	How often	How Reviewed/ Where Reported to
Probity Register	Internal Audit External Audit Monitor Director of Finance	At least annually	The register will be reviewed and reported on an annual basis to the Audit and Non Clinical Risk Sub-Committee

8. DEFINITIONS

For the purpose of this Policy the following definitions have been adopted:

- **Conflict of interest.** This occurs where an individual's ability to exercise judgement or act in one role is or could be impaired or otherwise influenced by his or her involvement in another role or relationship. The individual does not need to exploit his or her position or obtain an actual benefit, financial or otherwise. A potential for competing interests and/or a perception of impaired judgement or undue influence can also be a conflict of interest.
- **Commercial Sponsorship.** Defined as "Funding by an external company of all or part of the costs of a member of staff [or board], NHS research, staff training, pharmaceuticals, meeting rooms, costs associated with meetings, meals, gifts, hospitality, holidays, hotel and transport costs (including trips abroad), provision of free services, equipment, buildings, or premises
- **Gifts** Defined as any item of cash or goods, or any service, which is provided for personal benefit at less than its commercial value.
- **Hospitality.** Defined as meals and or drinks, visits, entertainment, lecture courses organised etc. provided or offered by potential suppliers.
- **Secondary Employment.** This will include the following:
 - any paid employment outside the Trust;
 - self-employment;
 - bank/locum agency work either within or outside of the Trust;
 - an extra job/work within the Trust;
 - voluntary work (whether paid or not).

9. EQUALITY IMPACT ASSESSMENT

An Equality Impact Assessment (EIA) has been conducted on this procedural document in line with the principles of the Equality Analysis Policy (CORP/EMP 27) and the Fair Treatment for All Policy (CORP/EMP 4).

The purpose of the EIA is to minimise and if possible remove any disproportionate impact on employees on the grounds of race, sex, disability, age, sexual orientation or religious belief. No detriment was identified. See Appendix 5.

10. ASSOCIATED TRUST PROCEDURAL DOCUMENTS

CORP/EMP 1	Sickness Absence Policy
CORP/EMP 2	Disciplinary Procedure (including employee copy and Managers Guide)
CORP/EMP 14	Whistleblowing Policy – Voicing your Concerns
CORP/EMP 36	Recruitment and Selection Policy
CORP/FIN 1 (A)	Standing Orders
CORP/FIN 1 (B)	Standing Financial Instructions
CORP/FIN 1 (C)	Reservation of Powers to the Board and Delegation of Powers
CORP/FIN 1 (D)	Fraud, Bribery and Corruption Policy and Response Plan
CORP/PROC 2	Representative Policy

11. REFERENCES

- Commercial Sponsorship – Ethical Standards for the NHS, November 2000
- EC Directives on Public Purchasing for Works and Supplies Her Majesty's Government
- DH Code of Conduct for Private Practice (2004)
- NHS Management Executive (1999) - HSG(93) 5 Standards of Business Conduct for NHS Staff.
- NHS trust model standing orders, reservation and delegation of powers and standing financial instructions, DH Crown Copyright March 2006
- Nolan Committee (1994) Nolan Report "Seven Principles of Public Life"
- The Bribery Act 2010
- The Code of Conduct for NHS Managers 2002 (Corporate Governance Manual 1.3.4)
- The Fraud Act 2006
- The Human Medicines Regulations 2012

APPENDIX 1 – THE NOLAN PRINCIPLES

THE NOLAN PRINCIPLES

The Seven Principles of Public Life

1. Selflessness

Holders of public office should take decisions solely in terms of the public interest. They should not do so in order to gain financial or other material benefits for themselves, their family, or their friends.

2. Integrity

Holders of public office should not place themselves under any financial or other obligation to outside individuals or organisations that might influence them in the performance of their official duties.

3. Objectivity

In carrying out public business, including making public appointments, awarding contracts, or recommending individuals for rewards and benefits, holders of public office should make choices on merit.

4. Accountability

Holders of public office are accountable for their decisions and actions to the public and must submit themselves to whatever scrutiny is appropriate to their office.

5. Openness

Holders of public office should be as open as possible about all the decisions and actions that they take. They should give reasons for their decisions and restrict information only when the wider public interest clearly demands.

6. Honesty

Holders of public office have a duty to declare any private interests relating to their public duties and to take steps to resolve any conflicts arising in a way that protects the public interest.

7. Leadership

Holders of public office should promote and support these principles by leadership and example.

APPENDIX 2 – GIFTS, HOSPITALITY AND SPONSORSHIP FORM

Gifts, Hospitality and Sponsorship Form

Doncaster and Bassetlaw Hospitals 
NHS Foundation Trust

This form must be completed **in advance** of Sponsorship being accepted, and wherever possible in **advance** of any acceptance of Gifts (with a value in excess of £25) or Hospitality.

SECTION A: COMPLETE IN ALL INSTANCES	
Description of actual hospitality / sponsorship / gift(s) being offered	
Please outline the reasons for the hospitality / sponsorship / gift(s) - what area of DBHs work or which project is it connected with?	
Name and address of donor / sponsor offering the hospitality / sponsorship / gift(s)	
Date(s) hospitality / sponsorship / gift(s) offered	
Approximate value of hospitality / sponsorship / gift(s)	£
Hospitality / sponsorship / gift(s) accepted?	YES / NO
I understand that it is a serious offence to make or conspire to make any false statement on this form or to withhold any relevant information, and that such an offence could lead to disciplinary action and I may be liable for criminal prosecution and/or civil recovery proceedings. I consent to disclosure of information from this form to and by the Trust and NHS Protect for the purpose of verification, prevention, detection and prosecution of fraud.	
<u>Form submitted by:</u> Name (Please PRINT): Post Title (Please PRINT): Signature: _____ Date: _____	

SECTION B: COMPLETE IF HOSPITALITY / SPONSORSHIP / GIFT(S) ACCEPTED	
If hospitality - are drinks included? (specify if alcoholic)	
If hospitality received, provide name of venue	
How many DBH employees will receive the hospitality / sponsorship / gift(s)? Please give names and specify the department or supply a separate list.	
What type of benefit will DBH or its employees receive as a result?	
What commitment is expected from DBH or its employees as a result of accepting the hospitality / sponsorship / gift(s)?	

<u>Director Approval</u>	
Signature: _____	Date: _____
Print name: _____	

<u>Approval by Director of Finance</u>	
Signature: _____	Date: _____
Print name: _____	

PLEASE SEND COMPLETED FORM TO THE DIRECTOR OF FINANCE– DONCASTER ROYAL INFIRMARY

APPENDIX 3 – DECLARATION OF INTEREST FORM

Employees Declaration of Interest Form

Doncaster and Bassetlaw Hospitals 
NHS Foundation Trust

Please use this form to declare any conflict of interest including where you, or a close relative or associate, has a controlling and/or significant interest in a business, or any other activity or pursuit, which may compete for an NHS contract to supply goods or services. Include details of any business venture or activity that could be perceived to have a connection to healthcare provision or in any way be linked to your main employment with the Trust

1. Employees Declaration of Interest	
Name of Employee making declaration (Please PRINT)	
Post Title	
Directorate/CSU	
2. Details of Conflict of Interest	
Name of person affected (e.g. self/partner)	
Conflict of interest (please tick applicable box)	<input type="checkbox"/> Controlling interest in a business <input type="checkbox"/> Significant interest in a business <input type="checkbox"/> Member of company / business <input type="checkbox"/> Other (please specify) _____
Name of business / company where interest lies	
3. Declaration	
<p>I understand that it is a serious offence to make or conspire to make any false statement on this form or to withhold any relevant information, and that such an offence could lead to disciplinary action and I may be liable for criminal prosecution and/or civil recovery proceedings. I consent to disclosure of information from this form to and by the Trust and NHS Protect for the purpose of verification, prevention, detection and prosecution of fraud.</p> <p><u>Form submitted by:</u></p> <p>Signature: _____ Date: _____</p>	
4. Approval	
<p><u>Director Approval</u></p> <p>Signature: _____ Date: _____</p> <p>Print name: _____</p>	
<p><u>Approval by Director of Finance</u></p> <p>Signature: _____ Date: _____</p> <p>Print name: _____</p>	
<p>PLEASE SEND COMPLETED FORM TO THE DIRECTOR OF FINANCE– DONCASTER ROYAL INFIRMARY</p>	

APPENDIX 4 – SECONDARY EMPLOYMENT FORM

Doncaster and Bassetlaw Hospitals 
NHS Foundation Trust

Employees Disclosure of Secondary Employment Form

Please use this form to declare any secondary employment you are engaged in or intending to engage in.

1. Employees Disclosure of Secondary Employment	
Name of Employee making declaration (Please PRINT)	
Post Title	
Directorate/CSU	
2. Details of Secondary Employment	
Name of Employer	
Address of Employer	
Position Held/Job Title	
Days Employed (circle appropriate days)	M T W T F S S or VARIOUS
Total hours to be worked (indicate whether daily/weekly/monthly)	
3. Declaration	
<p>I understand that it is a serious offence to make or conspire to make any false statement on this form or to withhold any relevant information, and that such an offence could lead to disciplinary action and I may be liable for criminal prosecution and/or civil recovery proceedings. I consent to disclosure of information from this form to and by the Trust and NHS Protect for the purpose of verification, prevention, detection and prosecution of fraud.</p> <p><u>Form submitted by:</u></p> <p>Signature: _____ Date: _____</p>	
4. Approval	
<u>Line Manager Approval</u>	
<p>Signature: _____ Date: _____</p> <p>Print name: _____</p>	
<p>COMPLETED FORM SHOULD BE SENT TO THE EMPLOYEE SERVICES CENTRE – DONCASTER ROYAL INFIRMARY</p>	

APPENDIX 5 - EQUALITY IMPACT ASSESSMENT PART 1 INITIAL SCREENING

Policy	Care Group/Executive Directorate and Department	Assessor (s)	New or Existing Service or Policy?	Date of Assessment
CORP/FIN 4 v.4 – Standards of Business Conduct & Employees Declarations of Interest Policy	Finance	Mark Bishop	Existing	18/03/2016
1. Who is responsible for this policy? Finance Directorate				
2. Describe the purpose of the policy? Sets out the directions and criteria for declaring business involvement , gifts, hospitality and sponsorship plus conflicts of interest				
3. Are there any associated objectives? Comply with Standing Orders, Standing Financial Instructions and the Bribery Act 2010				
4. What factors contribute or detract from achieving intended outcomes? None				
5. Does the policy have an impact in terms of age, race, disability, gender, gender reassignment, sexual orientation, marriage/civil partnership, maternity/pregnancy and religion/belief? No				
6. If yes, please describe current or planned activities to address the impact N/A				
7. Is there any scope for new measures which would promote equality? N/A				
8. Are any of the following groups adversely affected by the policy?				
a. Protected Characteristics	Affected?	Impact		
b. Age	No			
c. Disability	No			
d. Gender	No			
e. Gender Reassignment	No			
f. Marriage/Civil Partnership	No			
g. Maternity/Pregnancy	No			
h. Race	No			
i. Religion/Belief	No			
j. Sexual Orientation	No			
9. Provide the Equality Rating of the service/ function/policy /project / strategy				
Outcome 1 ✓	Outcome 2	Outcome 3	Outcome 4	
10. Date for next review: March 2019				
Checked by: Jeremy Cook		Date: 18/03/2016		