



Report Cover Sheet

Report to:	Trust Board		
Date of the Meeting:	24 July 2019		
Agenda Item:	P1/157/19		
Title:	Conflicts of Interest Policy		
Report prepared by:	Angela Wendzicha, Associate Director of Corporate Governance		
Executive Lead:	James Thomson, Director of Finance		
Status of the Report:	Public		Private
	X		

Paper previously considered by:	Audit Committee		
Date & Decision:	17 July 2019 – Reviewed and recommended for Trust Board final approval subject to the amendments listed below.		

Executive summary/key points for discussion:	<p>In February 2017, new guidance on ‘Managing Conflicts of Interests in the NHS’ was published. The national guidance (which included a model policy) sets out a series of common principles and rules for managing conflicts of interest within the NHS.</p> <p>The attached policy reflects a full re-write of the existing Trust policy and is in line with the model policy and national guidance.</p> <p>Following discussion at the Audit Committee on 17 July 2019, the draft Policy has been amended as follows;</p> <p>Section 6 – ‘All Consultants’ has been added to the list of Staff.</p> <p>Section 7 – Decision making staff: <i>Those at Agenda for Change Band 8d and above</i> has been amended to 8a and above</p> <p>Section 10 – Additional section inserted to included more detail around Fraud, Bribery and Corruption</p> <p>Section 12.1 <i>Gifts from other sources – Modest gifts under £25 do not need to be declared</i> has been amended to £50.</p> <p>Appendix B- Register of Interest has been re-drafted in line with model policy</p> <p>Appendix C – Register of Gifts, Hospitality and Sponsorship has been redrafted in line with model policy.</p>		
--	---	--	--

Action Required:	Discuss		Receive	X
	Approve	X	Note	

Next steps:	<p>Following approval the Policy will be implemented, training sourced and carried out.</p> <p>Appropriate registers will be completed and presented at the next Audit Committee in September 2019 following which they will be presented at Trust Board.</p>
-------------	---

The paper links to the following strategic priorities (please tick)

Deliver outstanding		Collaborative system	
----------------------------	--	----------------------	--

care locally		leadership to deliver better patient care	
Retain and develop outstanding staff		Be enterprising	√
Invest in research & innovation to deliver excellent patient care in the future		Maintain excellent quality, operational and financial performance	

The paper relates to the following Board Assurance Framework (BAF) Risks

BAF Risk	Please Tick
1. If we do not optimise quality outcomes we will not be able to provide outstanding care	
2. If we do not prioritise the costs of the delivering the Transforming Cancer Care Programme we will not be able to maintain our long-term financial strength and make appropriate strategic investments.	
3. If we do not have the right infrastructure (estate, communication & engagement, information and technology) we will be unable to deliver care close to home.	
4. If we do not have the right innovative workforce solutions including education and development, we will not have the right skills, in the right place, at the right time to deliver the outstanding care.	
5. If we do not have an organisational culture that promotes positive staff engagement and excellent health and well-being we will not be able to retain and attract the right workforce.	
6. If we fail to implement and optimise digital technology we will not deliver optimal patient outcomes and operational effectiveness.	
7. If we fail to position the organisation as a credible research partner we will limit patient access to clinical trials and affect our reputation as a specialist centre delivering excellent patient care in the future.	
8. If we do not retain system-side leadership, for example, SRO for Cancer Alliance and influence the National Cancer Policy, we will not have the right influence on the strategic direction to deliver outstanding cancer services for the population of Cheshire & Merseyside.	
9. If we do not support and invest in entrepreneurial ideas and adapt to changes in national priorities and market conditions we will stifle innovative cancer services for the future.	
10. If we do not continually support, lead and prioritise improved quality, operational and financial performance, we will not provide safe, efficient and effective cancer services.	√

Equality & Diversity Impact Assessment

Are there concerns that the policy/service could have an adverse impact on:	YES	NO
Age		X
Disability		X
Gender		X
Race		X
Sexual Orientation		X
Gender Reassignment		X
Religion/Belief		X
Pregnancy and Maternity		X

If YES to one or more of the above please add further detail and identify if a full impact assessment is required.

Trust-Wide Policy

Managing Conflicts of Interest

**DOCUMENT REF:
(Version No. 2.0)**

Name and designation of policy author(s)	<i>Angela Wendzicha, Associate Director of Corporate Governance</i>
Approved by (committee, group, manager)	<i>To be completed by author & DCM</i>
Approving signature	<i>Trust Board</i>
Date approved	
Review date	<i>2022</i>
Review type (annual, three yearly)	<i>Every three years</i>
Target audience	<i>All Staff</i>
Links to other strategies, policies, procedures	
Protective Marking Classification	<i>To be completed by author (See Document Control Policy section 7.4)</i>
This document replaces	<i>Version 3.0 Receipt of Gifts and Hospitality</i>

Issue Date:	Page 1 of 33	Filename:	Issue No:
Author:	Authorised by:		Copy No:

Consultation:

	Authorised by	Date Authorised	Comments
Impact Assessment	<i>To be completed by DCM</i>	<i>To be completed by DCM</i>	<i>To be completed by DCM</i>
Fraud Assessment	<i>To be completed by DCM</i>	<i>To be completed by DCM</i>	<i>To be completed by DCM</i>

Circulation/Dissemination:

Date added into Q-Pulse	<i>To be completed by DCM</i>
Date notice posted in the Team Brief	<i>To be completed by DCM</i>
Date document posted on the intranet	<i>To be completed by DCM</i>

Version History:

Date	Version	Author name and designation	Summary of main changes
June 2019	2	Angela Wendzicha, Associate Director of Corporate Governance	Full re-write of the Policy in order to align with the National Policy published in 2017.

Issue Date:	Page 2 of 33	Filename:	Issue No:
Author:	Authorised by:		Copy No:

Contents

1. Policy Summary	5
2. Introduction	6
3. Purpose	6
4. Definitions	7
5. Interests	7
6. Staff	8
7. Decision Making Staff	8
8. Identification, Declaration and Reviews of Interests	9
8.1 Identification and declaration of interests (including gifts and hospitality)	9
9. Records and Publication	10
9.1 Maintenance	10
9.2 Publication	10
9.3 Wider transparency initiatives	11
10. Fraud, Bribery and Corruption	12
11. Management of Interests – general	13
12. Management of Interests – common situations	13
12.1 Gifts	13
12.2 Hospitality	14
12.3 Outside Employment	16
12.4 Shareholdings and other Ownership Issues	16
12.5 Patents	17
12.6 Loyalty Interests	18
12.7 Donations	18
12.8 Sponsored Events	18
12.9 Sponsored Research	20
12.10 Sponsored Posts	21
12.11 Clinical Private Practice	22

Issue Date:	Page 3 of 33	Filename:	Issue No:
Author:	Authorised by:		Copy No:

13. Management of Interests – advice in specific context	23
13.1 Strategic Decision Making Groups	23
13.2 Procurement	24
14. Dealing with Breaches	25
14.1 Identifying and reporting breaches	25
14.2 Taking Action in Response to Breaches	26
14.3 Learning and Transparency Concerning Breaches	27
15. Training	27
16. Audit	27
17. References	28
18. Appendices	28
Appendix A- Declaration of Interest Form (including guidance note)	
Appendix B – Template Register of Interests	
Appendix C – Template Gifts and Hospitality Register	

Issue Date:	Page 4 of 33	Filename:	Issue No:
Author:	Authorised by:	Copy No:	

1.0 Policy Summary

Adhering to this Policy will help to ensure that we use NHS money wisely, providing best value for taxpayers and accountability to our patients for the decisions we take.

As a member of staff you should.....	As an organisation we will.....
<ul style="list-style-type: none"> • Familiarise yourself with this policy and follow it. Refer to the guidance behind this policy https://www.england.nhs.uk/wp-content/uploads/2017/02/guidance-managing-conflicts-of-interest-nhs.pdf • Use your common sense and judgement to consider whether the interests you have could affect the way taxpayers' money is spent • Regularly consider what interests you have and declare these as they arise. If in doubt, declare. • <u>NOT</u> misuse your position to further your own interests or those close to you • <u>NOT</u> be influenced, or give the impression that you have been influenced by outside interests • <u>NOT</u> allow outside interests you have to inappropriately affect the decisions you make when using taxpayers' money 	<ul style="list-style-type: none"> • Ensure that this policy and supporting processes are clear and help staff understand what they need to do. • Identify a team or individual with responsibility for: <ul style="list-style-type: none"> ○ Keeping this policy under review to ensure they are in line with the guidance ○ Providing advice training and support for staff on how interests should be managed ○ Maintaining register(s) of interests ○ Auditing this policy and its associated processes and procedures at least once every three years • <u>NOT</u> avoid managing conflicts of interest. • <u>NOT</u> interpret this policy in a way which stifles collaboration and innovation with our partners

2.0 Introduction

The Clatterbridge Cancer Centre NHS Foundation Trust (the “organisation”), and the people who work with and for us, collaborate closely with other organisations, delivering high quality care for our patients.

These partnerships have many benefits and should help ensure that public money is spent efficiently and wisely. However, there is a risk that conflicts of interests may arise.

Providing best value for money for taxpayers and ensuring that decision are taken transparently and clearly are both key principles in the NHS Constitution. We are committed to maximising our resources for the benefit of the whole community. As an organisation and as individuals, we have a duty to ensure that all our dealings are conducted to the highest standards of integrity and that NHS monies are used wisely so that we are using our finite resources in the best interests of patients.

Failure to adhere to provisions relating to the declaration of interests may constitute a fraud, bribery or other criminal offence, as individuals could be gaining unfair advantage or financial rewards for themselves, family member, friend or associate.

3.0 Purpose

This policy will help our staff manage conflicts of interest risks effectively. The policy:

- Introduces consistent principles and rules
- Provides simple advice about what to do in common situations
- Supports good judgement about how to approach and manage interests

This policy should be considered in conjunction with the following Trust documents:

- Standing Financial Instructions
- Scheme of Delegation
- Making Investment Decisions Policy
- Research Sponsorship Policy
- Research Misconduct and Fraud Policy
- Private Practice at The Clatterbridge Cancer Centre Policy
- Acceptance or Refusal of Charitable Funds: Ethical Policy
- Anti-Fraud, Bribery and Corruption Policy

Issue Date:	Page 6 of 33	Filename:	Issue No:
Author:	Authorised by:		Copy No:

- Freedom to Speak Up Policy (Raising Concerns in the Workplace)

4.0 Definitions

4.1 A ‘conflict of interest’ is:

“A set of circumstances by which a reasonable person would consider that an individual’s ability to apply judgement or act, in the context of delivering, commissioning, or assuring taxpayer funded health and care services is, or could be, impaired or influenced by another interest they hold.”

4.2 A conflict of interest may be:

- Actual – there is a material conflict between one or more interests
- Potential – there is the possibility of a material conflict between one or more interests in the future

5.0 Interests

Staff may hold interests for which they cannot see potential conflict. However, caution is always advisable because others may see it differently and perceived conflicts of interest can be damaging. All interests should be declared where there is a risk of perceived improper conduct.

Interests fall into the following categories

Financial Interests	Non-Financial Interests
Where an individual may get direct financial benefit ¹ from the consequences of a decision they are involved in making.	Where an individual may obtain a non-financial professional benefit from the consequences of a decision they are involved in making, such as increasing their professional reputation or promoting their professional career.
Non-Financial Personal Interests	Indirect Interests
Where an individual may benefit personally in ways which are not directly linked to their professional career and do not give rise to a direct financial benefit, because of decisions they are involved in making in their	Where an individual has a close association ² with another individual who has a financial interest, a non-financial professional interest or a non-financial personal interest and could stand to benefit from a decision they

¹ This may be a financial gain, or avoidance of a loss

² A common sense approach should be applied to the term ‘close association’. Such an association might arise, depending on the circumstances, through relationships with close family members and relatives, close friends and associates and business partners

Issue Date:	Page 7 of 33	Filename:	Issue No:
Author:	Authorised by:		Copy No:

professional career	are involved in making.
---------------------	-------------------------

6.0 Staff

At The Clatterbridge Cancer Centre NHS Foundation Trust we use the skills and experience of many different people, all of whom are vital to our work. This includes people on differing employment terms, who for the purposes of this policy we refer to as 'staff' and are listed below:

- All salaried employees
- All Consultants
- All prospective employees – who are part-way through recruitment
- Contractors and sub-contractors
- Agency staff; and
- Committee, sub-committee and advisory group members (who may not be directly employed or engaged by the organisation)

7.0 Decision Making Staff

Some staff are more likely than others to have a decision making influence on the use of taxpayer's money due to the requirements of their role. For the purposes of this guidance these people are referred to as 'decision making staff'.

Decision making staff at The Clatterbridge Cancer Centre are:

- Executive and Non-Executive Directors (or equivalent roles) who have decision making roles which involve the spending of taxpayers' money
- Members of advisory groups (such as the Trust Executive Group) who contribute to direct or delegated decision making on the commissioning or provision of taxpayer funded services.
- Those at Agenda for Change Band 8a and above

Issue Date:	Page 8 of 33	Filename:	Issue No:
Author:	Authorised by:		Copy No:

- Administrative staff who have the power to enter into contracts on behalf of the Trust (within the limits set down in the Scheme of Delegation)
- Administrative staff involved in decision making concerning the commissioning of services, purchasing of goods, medicines, medical devices or equipment and formulary decisions.

8.0 Identification, Declaration and Review of Interests

8.1 Identification and Declaration of Interest (including gifts and hospitality)

All staff should identify and declare material interests at the earliest opportunity (and in any event within 28 days). If staff are in any doubt as to whether an interest is material then they should declare it, so that it can be considered.

Declarations should be made:

- On appointment with the organisation
- When staff move to a new role or their responsibilities change significantly.
- At the beginning of a new project/piece of work.
- As soon as circumstances change and new interests arise (for instance, in a meeting when interests staff hold are relevant to the matters in discussion).

Declarations should be made in the first instance to the employee's line manager and forwarded to the Associate Director of Corporate Governance who will maintain the Trust Register of Interests.

A Declaration of Interest(s) form is available at **Appendix A** or alternatively can be accessed via the Trust extranet at:

[http:// - to be included at document control stage](#)

The Director of Finance, as Executive Sponsor of this policy is responsible for reviewing current policies and bringing them in line with this policy. The Director of Finance will be supported by the Associate Director of Corporate Governance in fulfilling this responsibility.

Issue Date:	Page 9 of 33	Filename:	Issue No:
Author:	Authorised by:		Copy No:

The Associate Director of Corporate Governance is responsible for providing advice, training and support for staff on how interests should be managed.

The Associate Director of Corporate Governance is responsible for maintaining the Register(s) of Interests

The Associate Director of Corporate Governance is responsible for arranging audit of the policy, processes and procedures at least every three years.

Declarations should be made to the employee's line manager, and forwarded to the Associate Director of Corporate Governance.

After expiry, an interest will remain on Register(s) for a minimum of 6 months and a private record of historic interests will be retained for a minimum of 6 years.

The Associate Director of Corporate Governance will prompt 'decision making staff' to annually review declarations they have made and, as appropriate, update them or make a nil return.

9.0 Records and Publication

9.1 Maintenance

The Trust will maintain a Register of Interests pertaining to this policy:

- Declaration of Interest Register (including secondary employment)
(Appendix B)
- Gifts, Hospitality and Sponsorship Register **(Appendix C)**

9.2 Publication

The Trust will:

- Publish the interests declared by 'decision making staff' in the Register of Interests
- Publish gifts, hospitality and sponsorship received in the Register of Gifts, Hospitality and Sponsorship Register
- Refresh this information on an annual basis
- Make this information available on the website and /or by contacting the Associate Director of Corporate Governance.

Issue Date:	Page 10 of 33	Filename:	Issue No:
Author:	Authorised by:		Copy No:

In some cases it might not be appropriate to publish information about interests of some decision making staff, or their personal information may require redaction.

If 'decision making' staff have substantial grounds for believing that publication of their interests should not take place then they should contact the Associate Director of Corporate Governance in order to explain the reason. In exceptional circumstances, for instance where publication of information might put a member of staff at risk of harm, information may be withheld or redacted on public registers. However, this would be the exception and information will not be withheld or redacted merely because of a personal preference.

9.3 Wider Transparency Initiatives

The Clatterbridge Cancer Centre NHS Foundation Trust fully supports wider transparency initiatives in healthcare, and we encourage staff to engage actively with these.

Relevant staff are required to give their consent for payments they receive from the pharmaceutical industry to be disclosed as part of the Association of British Pharmaceutical Industry (ABPI) Disclosure UK initiative. These 'transfers of value' include payments relating to:

- Speaking at and chairing meetings
- Training services
- Advisory board meetings
- Fees and expenses paid to healthcare professionals
- Sponsorship of attendance at meetings, which includes registration fees and the costs of accommodation and travel, both inside and outside the UK
- Donations, grants and benefits in kind provided to healthcare organisations

Further information about the scheme can be found on the ABPI website:

<http://www.abpi.org.uk/our-work/disclosure/about/Pages/default.aspx>

Issue Date:	Page 11 of 33	Filename:	Issue No:
Author:	Authorised by:		Copy No:

10.0 Fraud, Bribery and Corruption

Under the Fraud Act 2006, failure to declare a relevant interest when under a legal obligation to do so, with the dishonest intention to make a gain for oneself or another (or cause, or risk, a loss to another) is an offence. Additional fraud offences may also be committed of false representation and abuse of position. For fraud offences, the gain or loss must be in money or other property (including things in action and other intangible property). It is immaterial whether or not the person gained the desired result of their fraud – the offences are based on the person's dishonest acts and intentions, and not whether they succeeded in deceiving anyone or causing an actual loss or gain. Fraud carries a maximum sentence of 10 years imprisonment and/or unlimited fine.

Corruption occurs where the integrity or honesty of a person, government, or company is manipulated and compromised for personal gain. It can range from being endemic within dysfunctional political systems and institutions, right down to one individual acting alone within a company. Bribery is a form of corruption. The Bribery Act 2010 makes it a criminal offence for individuals and organisations to give or accept bribes. The Bribery Act is applicable to the NHS. Any money, gift, hospitality or other advantage offered, promised or received by an employee from a person or company seeking a contract within the Trust, or otherwise improperly influence Trust business decisions, could potentially constitute a bribe. If any employee feels that they have been offered an incentive or bribe in the course of their professional duties, or that anyone associated with the Trust is offering bribes to others to gain business for the Trust, this should be reported to the Trust's Anti-Fraud Specialist. Individuals guilty of bribery can receive up to 10 years imprisonment and/or unlimited fine. Commercial offences include where an organisation consents to or turns a blind eye to bribery; and, failure to have had adequate procedures in place designed to prevent bribery where a person associated with it has committed a bribery offence intending to obtain or retain business, or an advantage, for the organisation. Commercial organisations guilty of bribery can receive unlimited fines.

Any suspicion of fraud, bribery and corruption can be reported directly to the Anti-Fraud Specialist on 0151 285 4500 (Address: Anti-Fraud Team, MIAA, Ground Floor, Regatta Place, Summers Road, Brunswick Business Park, Liverpool, L3 4BL); through the NHS Fraud and Corruption Reporting Line (FCRL) on Freephone 0800 028 40 60 (powered by Crimestoppers 24/7); the NHS online fraud reporting form <https://cfa.nhs.uk/reportfraud>; directly via the Trust's Director of Finance; or through the Trust's whistleblowing arrangements. For further information please refer to the Trust's Anti-Fraud, Bribery & Corruption Policy, and dedicated Fraud, Bribery and Corruption section of the staff intranet.

Issue Date:	Page 12 of 33	Filename:	Issue No:
Author:	Authorised by:		Copy No:

11.0 Management of Interests - General

If an interest is declared but there is not risk of a conflict arising then no action is warranted. However, if a material interest is declared then the general management actions that could be applied include:

- Restricting staff involvement in associated discussions and excluding them from decision making
- Removing staff from the whole decision making process
- Removing staff responsibility for an entire area of work
- Removing staff from their role altogether if they are unable to operate effectively in it because the conflict is so significant

Each case will be different and context-specific, and the Trust will always clarify the circumstances and issues with the individuals involved. Staff should maintain a written audit trail of information considered and actions taken.

Staff who declare material interests should make their line manager or the person(s) they are working to aware of their existence.

The Director of Finance and the Associate Director of Corporate Governance will advise on possible disputes about the most appropriate management action.

12.0 Management of Interests – Common Situations

This section sets out the principles and rules to be adopted by staff in common situations, and what information should be declared.

12.1 Gifts

Staff should not accept gifts that may affect, or be seen to affect their professional judgement.

Gifts from suppliers or contractors

- Gifts from suppliers or contractors doing business (or likely to do business) with the organisation should be declined, whatever their value.

Issue Date:	Page 13 of 33	Filename:	Issue No:
Author:	Authorised by:		Copy No:

- Low cost branded promotional aids such as pens or post-it notes may, however, be accepted where they are under the value of £6³ in total, and need not be declared

Gifts from other sources (e.g. patients, families, service users)

- Gifts of cash and vouchers to individuals should always be declined
- Staff should not ask for any gifts
- Gifts valued at £50 and over should be treated with caution and only be accepted on behalf of the Trust and not in a personal capacity. These should be declared by the Trust
- Modest gifts under a value of £50 do not need to be declared
- A common sense approach should be applied to the valuing of gifts (using an actual amount, if known, or an estimate that a reasonable person would make as to its value)
- Multiple gifts from the same source over a 12 month period should be treated in the same way as single gifts over £50 where the cumulative value exceeds £50.

What should be declared

- Staff name and their role with the organisation
- A description of the nature and value of the gift, including its source
- Date of receipt
- Any other relevant information (e.g. circumstances surrounding the gift, action taken to mitigate against a conflict, details of any approvals given to depart from the terms of this policy)

12.2 Hospitality

- Staff should not ask for or accept hospitality that may affect, or be seen to affect their professional judgement
- Hospitality must only be accepted when there is a legitimate business reason and it is proportionate to the nature and purpose of the event

³ The £6 value has been selected with reference to existing industry guidance issued by the ABPI

Issue Date:	Page 14 of 33	Filename:	Issue No:
Author:	Authorised by:		Copy No:

- Particular caution should be exercised when hospitality is offered by actual or potential suppliers or contractors. This can be accepted, and must be declared, if modest and reasonable. Senior approval must be obtained.

Meals and refreshments (both provision and receipt of):

- Under a value of £25 – may be accepted and need not be declared
- Of a value between £25 and £75⁴ - may be accepted and must be declared
- Over a value of £75 – should be refused unless in exceptional circumstances) senior approval is given. A clear reason should be recorded on the Trust’s Register(s) of Interest as to why it was permissible to accept.
- A common sense approach should be applies to the valuing of meals and refreshments (using an actual amount, if known, or a reasonable estimate)

Travel and accommodation:

- Modest offers to pay some or all of the travel and accommodation costs related to attendance at events may be accepted and must be declared
- Offers which go beyond modest, or are of a type that the Trust itself might not usually offer need approval by senior staff, should only be accepted in exceptional circumstances, and must be declared. A clear reason should be recorded on the Trust’s Register(s) of Interest as to why it was permissible to accept travel and accommodation of this type. A non-exhaustive list of examples includes:
 - Offers of business class or first class travel and accommodation (including domestic travel)
 - Offers of foreign travel and accommodation

What should be declared

- Staff name and their role with the Trust
- The nature and value of the hospitality including the circumstances

⁴ The £75 value has been selected with reference to existing industry guidance issued by the ABPI

Issue Date:	Page 15 of 33	Filename:	Issue No:
Author:	Authorised by:		Copy No:

- Date of receipt
- Any other relevant information (e.g. action taken to mitigate against a conflict, details of any approvals given to depart from the terms of this policy)

12.3 Outside Employment

- Staff should declare any existing outside employment on appointment and any new outside employment when it arises
- Where a risk of conflict of interest arises, the general management actions outlined in this policy should be considered and applied to mitigate risks
- Where contracts of employment or terms and conditions of engagement permit, staff may be required to seek prior approval from the organisation to engage in outside employment
- The Trust may also have legitimate reasons within employment law for knowing about outside employment of staff, even when this does not give rise to risk of a conflict. Executive Directors and Non-Executive Directors are required to comply with the Fit and Proper Requirements as set out in the Health and Social Care Act 2012 and the Trust's Constitution. As such the aforementioned are required to make annual declarations.

What should be declared

- Staff name and their role within the Trust
- The nature of the outside employment (e.g. who it is with, a description of duties, time commitment)
- Relevant dates
- Other information (e.g. action taken to mitigate against a conflict, details of any approvals given to depart from the terms of this policy).

12.4 Shareholdings and other Ownership Issues

Issue Date:	Page 16 of 33	Filename:	Issue No:
Author:	Authorised by:		Copy No:

- Staff should declare, as a minimum, any shareholdings and other ownership interests in any publicly listed, private or not-for-profit company, business, partnership or consultancy which is doing, or might be reasonably expected to do, business with the Trust.
- Where shareholdings or other ownership interests are declared and give rise to risk of conflicts of interest then the general management actions outlined in this policy should be considered and applied to mitigate risks.
- There is no need to declare shares or securities held in collective investment or pension funds or units of authorised unit trusts.

What should be declared

- Staff name and their role with the organisation.
- Nature of the shareholdings/other ownership interest.
- Relevant dates.
- Other relevant information (e.g. action taken to mitigate against a conflict, details of any approvals given to depart from the terms of this policy).

12.5 Patents

- Staff should declare patents and other intellectual property rights they hold (either individually, or by virtue of their association with a commercial or other organisation), including where applications to protect have started or are ongoing, which are, or might be reasonably expected to be, related to items to be procured or used by the organisation.
- Staff should seek prior permission from the organisation before entering into any agreement with bodies regarding product development, research, work on pathways etc, where this impacts on the organisation’s own time, or uses its equipment, resources or intellectual property.
- Where holding of patents and other intellectual property rights give rise to a conflict of interest then the general management actions outlined in this policy should be considered and applied to mitigate risks.

What should be declared

Issue Date:	Page 17 of 33	Filename:	Issue No:
Author:	Authorised by:		Copy No:

- Staff name and their role with the organisation.
- A description of the patent.
- Relevant dates.
- Other relevant information (e.g. action taken to mitigate against a conflict, details of any approvals given to depart from the terms of this policy)

12.6 Loyalty Interests

Loyalty interests should be declared by staff involved in decision making where they:

- Hold a position of authority in another NHS organisation or commercial, charity, voluntary, professional, statutory or other body which could be seen to influence decisions they take in their NHS role.
- Sit on advisory groups or other paid or unpaid decision making forums that can influence how an organisation spends taxpayers' money.
- Are, or could be, involved in the recruitment or management of close family members and relatives, close friends and associates, and business partners.
- Are aware that their organisation does business with an organisation in which close family members and relatives, close friends and associates, and business partners have decision making responsibilities.

What should be declared:

- Staff name and their role with the organisation.
- Nature of the loyalty interest.
- Relevant dates.
- Other relevant information (e.g. action taken to mitigate against a conflict, details of any approvals given to depart from the terms of this policy).

12.7 Donations

- Donations made by suppliers or bodies seeking to do business with the organisation should be treated with caution and not routinely accepted. In exceptional circumstances they may be accepted but should always be

Issue Date:	Page 18 of 33	Filename:	Issue No:
Author:	Authorised by:		Copy No:

declared. A clear reason should be recorded as to why it was deemed acceptable, alongside the actual or estimated value.

- Staff should not actively solicit charitable donations unless this is a prescribed or expected part of their duties for the organisation, or is being pursued on behalf of the organisation's own registered charity or other charitable body and is not for their own personal gain.
- Staff must obtain permission from the organisation if in their professional role they intend to undertake fundraising activities on behalf of a pre-approved charitable campaign for a charity other than the organisation's own.
- Donations, when received, should be made to a specific charitable fund (never to an individual) and a receipt should be issued.
- Staff wishing to make a donation to a charitable fund in lieu of receiving a professional fee may do so, subject to ensuring that they take personal responsibility for ensuring that any tax liabilities related to such donations are properly discharged and accounted for.

What should be declared:

- The Trust will maintain records in line with the above principles and rules and relevant obligations under charity law.

12.8 Sponsored Events

- Sponsorship of events by appropriate external bodies will only be approved if a reasonable person would conclude that the event will result in clear benefit the organisations and the NHS.
- During dealings with sponsors there must be no breach of patient or individual confidentiality or data protection rules and legislation.
- No information should be supplied to the sponsor from whom they could gain a commercial advantage, and information which is not in the public domain should not normally be supplied.

Issue Date:	Page 19 of 33	Filename:	Issue No:
Author:	Authorised by:		Copy No:

- At the organisation’s discretion, sponsors or their representatives may attend or take part in the event but they should not have a dominant influence over the content or the main purpose of the event.
- The involvement of a sponsor in an event should always be clearly identified.
- Staff within the organisation involved in securing sponsorship of events should make it clear that sponsorship does not equate to endorsement of a company or its products and this should be made visibly clear on any promotional or other materials relating to the event.
- Staff arranging sponsored events must declare this to the organisation.

What should be declared:

- The Trust will maintain records regarding sponsored events in line with the above principles and rules.

12.9 Sponsored Research

- Funding sources for research purposes must be transparent.
- Any proposed research must go through the relevant health research authority or other approvals process.
- There must be a written protocol and written contract between staff, the organisation, and/or institutes at which the study will take place and the sponsoring organisation, which specifies the nature of the services to be provided and the payment for those services.
- The study must not constitute an inducement to prescribe, supply, administer, recommend, buy or sell any medicine, medical device, equipment or service.
- Staff should declare involvement with sponsored research to the organisation.

What should be declared:

- The organisation will retain written records of sponsorship of research, in line with the above principles and rules.
- Staff should declare:
 - their name and their role with the organisation.

Issue Date:	Page 20 of 33	Filename:	Issue No:
Author:	Authorised by:		Copy No:

- Nature of their involvement in the sponsored research.
- relevant dates.
- Other relevant information (e.g. what, if any, benefit the sponsor derives from the sponsorship, action taken to mitigate against a conflict, details of any approvals given to depart from the terms of this policy).

12.10 Sponsored Posts

- External sponsorship of a post requires prior approval from the organisation.
- Rolling sponsorship of posts should be avoided unless appropriate checkpoints are put in place to review and withdraw if appropriate.
- Sponsorship of a post should only happen where there is written confirmation that the arrangements will have no effect on purchasing decisions or prescribing and dispensing habits. This should be audited for the duration of the sponsorship. Written agreements should detail the circumstances under which organisations have the ability to exit sponsorship arrangements if conflicts of interest which cannot be managed arise.
- Sponsored post holders must not promote or favour the sponsor's products, and information about alternative products and suppliers should be provided.
- Sponsors should not have any undue influence over the duties of the post or have any preferential access to services, materials or intellectual property relating to or developed in connection with the sponsored posts.

What should be declared:

- The organisation will retain written records of sponsorship of posts, in line with the above principles and rules.

Issue Date:	Page 21 of 33	Filename:	Issue No:
Author:	Authorised by:		Copy No:

- Staff should declare any other interests arising as a result of their association with the sponsor, in line with the content in the rest of this policy.

12.11 Clinical Private Practice

Clinical staff should declare all private practice on appointment, and/or any new private practice when it arises⁵ including:

- Where they practise (name of private facility).
- What they practise (specialty, major procedures).
- When they practise (identified sessions/time commitment).

Clinical staff should (unless existing contractual provisions require otherwise or unless emergency treatment for private patients is needed):

- Seek prior approval of their organisation before taking up private practice.
- Ensure that, where there would otherwise be a conflict or potential conflict of interest, NHS commitments take precedence over private work.⁶
- Not accept direct or indirect financial incentives from private providers other than those allowed by Competition and Markets Authority guidelines:

https://assets.publishing.service.gov.uk/media/542c1543e5274a1314000c56/Non-Divestment_Order_amended.pdf

Hospital Consultants should not initiate discussions about providing their Private Professional Services for NHS patients, nor should they ask other staff to initiate such discussions on their behalf.

What should be declared:

- Staff name and their role with the organisation.

⁵ Hospital Consultants are already required to provide their employer with this information by virtue of Para.3 Sch. 9 of the Terms and Conditions – Consultants (England) 2003: https://www.bma.org.uk/-/media/files/pdfs/practical_advice_at_work/contracts/consultanttermsandconditions.pdf

⁶ These provisions already apply to Hospital Consultants by virtue of Paras.5 and 20, Sch. 9 of the Terms and Conditions – Consultants (England) 2003: https://www.bma.org.uk/-/media/files/pdfs/practical_advice_at_work/contracts/consultanttermsandconditions.pdf

Issue Date:	Page 22 of 33	Filename:	Issue No:
Author:	Authorised by:		Copy No:

- A description of the nature of the private practice (e.g. what, where and when staff practise, sessional activity, etc).
- Relevant dates.
- Any other relevant information (e.g. action taken to mitigate against a conflict, details of any approvals given to depart from the terms of this policy).

13.0 Management of Interests – advice in specific contexts

13.1 Strategic Decision Making Groups

In common with other NHS bodies, The Clatterbridge Cancer Centre NHS Foundation Trust uses a variety of different groups to make key strategic decisions about matters such as:

- Entering into(or renewing) large scale contracts
- Awarding grants
- Making procurement decisions
- Selection of medicines, equipment and devices

For this Trust, those groups are:

- Board of Directors
- Executive Team
- Trust Executive Group

The above groups should adopt the following principles:

- Chairs should consider any known interests of members in advance, and begin each meeting by asking for declaration of relevant material interests.
- Members should take personal responsibility for declaring material interests at the beginning of each meeting and as they arise.
- Any new interests identified should be added to the organisation’s register(s).
- The vice chair (or other non-conflicted member) should chair all or part of the meeting if the chair has an interest that may prejudice their judgement.

Issue Date:	Page 23 of 33	Filename:	Issue No:
Author:	Authorised by:		Copy No:

If a member has an actual or potential interest the chair should consider the following approaches and ensure that the reason for the chosen action is documented in minutes or records:

- Requiring the member to not attend the meeting.
- Excluding the member from receiving meeting papers relating to their interest.
- Excluding the member from all or part of the relevant discussion and decision.
- Noting the nature and extent of the interest, but judging it appropriate to allow the member to remain and participate.
- Removing the member from the group or process altogether.

The default response should not always be to exclude members with interests, as this may have a detrimental effect on the quality of the decision being made. Good judgement is required to ensure proportionate management of risk.

13.2 Procurement

Procurement should be managed in an open and transparent manner, compliant with procurement and other relevant law, to ensure there is no discrimination against or in favor of any provider. Procurement processes should be conducted in a manner that does not constitute anti-competitive behavior; which is against the interest of patients and the public.

Those involved in procurement exercises for and on behalf of the organisation should keep records that show a clear audit trail of how conflicts of interest have been identified and managed as part of procurement processes. At every stage of procurement steps should be taken to identify and manage conflicts of interest to ensure and to protect the integrity of the process.

Wirral University Teaching Hospitals provides procurement services for The Clatterbridge Cancer Centre. The Associate Director of Corporate Governance will seek assurance from Wirral University Teaching Hospitals with regard to their

Issue Date:	Page 24 of 33	Filename:	Issue No:
Author:	Authorised by:		Copy No:

management of conflicts of interests of procurement exercises operated on our behalf and report to the Audit Committee on an annual basis

14.0 Dealing with Breaches

There will be situations when interests will not be identified, declared or managed appropriately and effectively. This may happen innocently, accidentally, or because of the deliberate actions of staff or other organisations. For the purposes of this policy these situations are referred to as 'breaches'.

14.1 Identifying and Reporting Breaches

- Staff who are aware about actual breaches of this policy, or who are concerned that there has been, or may be, a breach, should report these concerns to either:
 - The Associate Director of Corporate Governance
 - The Senior Independent Director
 - The Trust's Local Anti-Fraud Specialist

To ensure that interests are effectively managed staff are encouraged to speak up about actual or suspected breaches. Every individual has a responsibility to do this and further information about how concerns can be raised can be found in the Trust Freedom to Speak Up Policy (Raising Concerns at Work) which can be found on the Trust extranet at:

[http: Insert link at document control stage](#)

The organisation will investigate each reported breach according to its own specific facts and merits, and give relevant parties the opportunity to explain and clarify any relevant circumstances.

Following investigation the organisation will:

- Decide if there has been or is potential for a breach and if so what the severity of the breach is.
- Assess whether further action is required in response – this is likely to involve any staff member involved and their line manager, as a minimum.

Issue Date:	Page 25 of 33	Filename:	Issue No:
Author:	Authorised by:		Copy No:

- Consider who else inside and outside the organisation should be made aware
- Take appropriate action as set out in the next section.

14.2 Taking action in response to breaches

Action taken in response to breaches of this policy will be in accordance with the disciplinary procedures of the organisation and could involve organisational leads for staff support (e.g. Human Resources), fraud (e.g. Local Counter Fraud Specialists), members of the management or executive teams and organisational auditors.

Breaches could require action in one or more of the following ways:

- Clarification or strengthening of existing policy, process and procedures.
- Consideration as to whether HR/employment law/contractual action should be taken against staff or others.
- Consideration being given to escalation to external parties. This might include referral of matters to external auditors, NHS Protect, the Police, statutory health bodies (such as NHS England, NHS Improvement or the CQC), and/or health professional regulatory bodies.

Inappropriate or ineffective management of interests can have serious implications for the organisation and staff. There will be occasions where it is necessary to consider the imposition of sanctions for breaches.

Sanctions should not be considered until the circumstances surrounding breaches have been properly investigated. However, if such investigations establish wrong-doing or fault then the organisation can and will consider the range of possible sanctions that are available, in a manner which is proportionate to the breach. This includes:

- Employment law action against staff, which might include

Issue Date:	Page 26 of 33	Filename:	Issue No:
Author:	Authorised by:		Copy No:

- Informal action (such as reprimand, or signposting to training and/or guidance).
- Formal disciplinary action (such as formal warning, the requirement for additional training, re-arrangement of duties, re-deployment, demotion, or dismissal).
- Reporting incidents to the external parties described above for them to consider what further investigations or sanctions might be.
- Contractual action, such as exercise of remedies or sanctions against the body or staff which caused the breach.
- Legal action, such as investigation and prosecution under fraud, bribery and corruption legislation.
- Failure to manage conflicts of interests may lead to criminal prosecutions for offences such as fraud, bribery and corruption. The Fraud Act 2006 created a criminal offence of fraud and defines fraud as:
 - Fraud by False Representation
 - Fraud by failing to disclose information
 - Fraud by abuse of position

14.3 Learning and transparency concerning breaches

- Reports on breaches, the impact of these, and action taken will be considered by the Audit Committee at least annually.
- To ensure that lessons are learnt and management of interests can continually improve, anonymised information on breaches, the impact of these, and action taken will be prepared and made available for inspection by the public upon request

15.0 Training

- A programme of specific training will be facilitated by the Associate Director of Corporate Governance to all decision making staff in addition to all clinical staff.

16.0 Audit

Issue Date:	Page 27 of 33	Filename:	Issue No:
Author:	Authorised by:		Copy No:

Compliance with the policy will be presented to the Audit Committee and Trust Board annually in addition to being subject to the internal audit plan.

17.0 References

Freedom of Information Act 2000

ABPI: The Code of Practice for the Pharmaceutical Industry (2014)

ABHI Code of Business Practice

NHS Code of Conduct and Accountability (July 2004)

Freedom to Speak Up Policy 2019

Disciplinary Policy and Procedures

NHS England – Managing Conflicts of Interest in the NHS (2017)

<https://www.england.nhs.uk/wp-content/uploads/2017/02/guidance-managing-conflicts-ofinterest-nhs.pdf>

Managing conflicts of interest in the NHS: Q&A for NHS provider managers

<https://www.england.nhs.uk/wp-content/uploads/2017/09/coi-qa-provider-managers.pdf>

Managing conflicts of interest in the NHS: Q&A for clinical staff

<https://www.england.nhs.uk/wp-content/uploads/2017/09/coi-qa-clinical-staff.pdf>

Managing conflicts of interest in the NHS: Q&A for medical staff Conflicts of Interest (incorporating Standards of Business Conduct) Policy – 5.03 ISSUE 6 – JUNE 2018 <https://www.england.nhs.uk/wp-content/uploads/2017/09/coi-qa-medical-staff.pdf>

18.0 Appendices

Appendix A – Declaration of Interest Form (including guidance note)

Appendix B – Template Register of Interests

Appendix C – Template Gifts and Hospitality Register

Issue Date:	Page 28 of 33	Filename:	Issue No:
Author:	Authorised by:		Copy No:

Appendix A – DECLARATION OF INTERESTS FORM

Name	Role	Description of Interest	Relevant Dates		Comments
			From	To	
<i>Example Mr John Smith</i>	<i>Example Senior Policy Manager, Commissioning Directorate, Organisation A</i>	<i>Example Hospitality received - £95 from Organisation Z to pay for travel to speak at conference on Managing Conflicts of Interest on 21/12/16 – please refer to guidance below</i>	21/12/2016	21/12/2016	<i>Approval to attend event and accept hospitality given by Mary Baker, Head of Unit</i>

Please see below for information on how to populate the above boxes

The information submitted will be held by The Clatterbridge Cancer Centre NHS Foundation Trust for personnel or other reasons specified on this form and to comply with the organisation’s policies. This information may be held in both manual and electronic form in accordance with the Data Protection Act 1998. Information may be disclosed to third parties in accordance with the Freedom of Information Act 2000 and published in registers that the Trust holds.

I confirm that the information provided above is complete and correct. I acknowledge that any changes in these declarations must be notified to The Clatterbridge Cancer Centre NHS Foundation Trust as soon as practicable and no later than 28 days after the interest arises. I am aware that if I do not make full, accurate and timely declarations then civil, criminal, internal disciplinary or professional regulatory action may result.

I **do / do not [delete as applicable]** give my consent for this information to published on registers that The Clatterbrige Cancer Centre NHS Foundation Trust holds.

If consent is NOT given please give reasons:

Signed:

Date:

Please return this form to **Angela Wendzicha, Associate Director of Corporate Governance**

Issue Date:	Page 1 of 33	Filename:	Issue No:
Author:	Authorised by:		Copy No:

GUIDANCE NOTES FOR COMPLETION OF SPECIMEN INTERESTS DECLARATION FORM

Name and Role: Insert your name and your position/role in relation to the Organisation you are making the return to

Description of Interest: Provide a description of the interest that is being declared. This should contain enough information to be meaningful (e.g. detailing the supplier of any gifts, hospitality, sponsorship, etc). That is, the information provided should enable a reasonable person with no prior knowledge should be able to read this and understand the nature of the interest.

Types of interest:

Financial interests - This is where an individual may get direct financial benefits from the consequences of a decision they are involved in making

Non-financial professional interests - This is where an individual may obtain a non-financial professional benefit from the consequences of a decision they are involved in making, such as increasing their professional reputation or status or promoting their professional career

Non-financial personal interests - This is where an individual may benefit personally in ways which are not directly linked to their professional career and do not give rise to a direct financial benefit, because of decisions they are involved in making in their professional career

Indirect interests - This is where an individual has a close association with another individual who has a financial interest, a non-financial professional interest or a non-financial personal interest who would stand to benefit from a decision they are involved in making

Examples of Descriptors:

- Any position of authority or trust, ie Directorships, Senior Management in another NHS organisation or commercial, charity, voluntary, professional, statutory or other body
- Any decision-making role in any advisory groups or other unpaid or paid forums that can influence how that organisation spends taxpayers money
- Employment or private practice with any private company, business or consultancy
- Research funding or grants that may be received by an individual or their department
- Any shareholdings and other ownership interests in any publicly listed, private or not-for-profit company, business, partnership or consultancy which is doing, or might be reasonably expected to do business with the Trust. This does not include shares held as part of a managed fund, pension fund or unit trust
- Any patents or intellectual property rights held in the fields of health or social care or that could be utilised by the Trust in its day to day operations

A benefit may arise from either a gain or avoidance of a loss.

Issue Date:	Page 2 of 33	Filename:	Issue No:
Author:	Authorised by:		Copy No:

Relevant Dates: Detail here when the interest arose and, if relevant, when it ceased

Comments: This field should detail any action taken to manage an actual or potential conflict of interest. It might also detail any approvals or permissions to adopt certain course of action

Issue Date:	Page 3 of 33	Filename:	Issue No:
Author:	Authorised by:		Copy No:

Appendix B - Register of Interest								
Name	Position/ Directorate	Role (Decision Maker)	Declared Interest (Name of Organisation and Nature of Business)	Type of Interest	Is the Interest Direct or Indirect?	Interest From	Interest Until	Action Taken to Mitigate Risk

Appendix C – Register of Gifts, Hospitality and Sponsorship

Register of Gifts, Hospitality and Sponsorship											
Recipient Name	Position/ Directorate	Date of Offer	Date of Receipt (if applicable)	Details of Gift/ Hospitality/Sponsorship	Estimated Value	Supplier/Offer or Name and Nature of Business	Details of Previous Offers or Acceptance by this Offeror/Supplier	Declined or Accepted	Reason for Accepting / Declining	Details of individual reviewing & approving the declaration made and date	Other Comments

Issue Date:	Page 2 of 33	Filename:	Issue No:
Author:	Authorised by:		Copy No: