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WALES

Pwyllgor Gwasanaethau Iechyd
Arbenigol Cymru (PGIAC)
Welsh Health Specialised
Services Committee (WHSSC)

Standards of Behaviour Policy

(Incorporating Declarations of Interest, Gifts,
Hospitality and Sponsorship)

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1. POLICY STATEMENT

The Joint Committee is committed to ensuring that its employees and Independent Members practice the highest standards of conduct and behaviour. This policy sets out those expectations and provides supporting guidance so that all employees and independent Members are supported in delivering that requirement/aim.

2. INTRODUCTION

2.1 Public Service Values

The Welsh Government's Citizen-Centred Governance Principles apply to all public bodies in Wales. These principles integrate all aspects of governance and embody the values and standards of behaviour expected at all levels of public services in Wales.

“Public service values and associated behaviours are and must be at the heart of the NHS in Wales”

WHSSC is strongly committed to the organisation being value-driven, rooted in “Nolan” principles and high standards of public life and behaviour, including openness, customer service standards, diversity and engaged leadership.

WHSSC is committed to ensuring that all employees and Independent Members practice the highest standards of conduct and behavior, based on the recognition that the needs of service users must come first. This policy sets out those expectations and provides supporting guidance so that all employees and Independent Members are supported in delivering that requirement.

The “Seven Principles of Public Life” (the “Nolan Principles”), form the basis of WHSSC’s Standards of Behaviour requirements for its employees and Independent Members. These are:

- **Selflessness** – Individuals should act solely in terms of the public interest. They should not do so in order to gain financial or other benefits for themselves, their family or friends;
- **Integrity** – Individuals should not place themselves under any financial or other obligation to outside individuals or organisations that might seek to influence them in the performance of their official duties;



- **Objectivity** – In carrying out public business, including making public appointments, awarding contracts, recommending individuals for rewards and benefits, choices should be made on merit;
- **Accountability** – Individuals are accountable for their decisions and actions to the public and must submit themselves to whatever scrutiny is appropriate for their position;
- **Openness** – Individuals should be as open as possible about all the decisions and actions they take. They should give reasons for their decisions and restrict information only when the wider public interest clearly demands it;
- **Honesty** – Individuals have a duty to declare any private interests relating to their duties and to take steps to resolve any conflicts arising in a way that protects the public interest, and;
- **Leadership** – Individuals should promote and support these principles by leadership and example.

The Codes of Conduct and Accountability for NHS Boards and the Code of Conduct for NHS Managers Directions 2006 reinforce the seven principles of public life and focus on the crucial public service values which must underpin the work of the health service; these are available via the following link: <http://www.wales.nhs.uk/governance-emanual/codes-of-conduct>.

In support of these principles, employees and Independent Members must be impartial and honest in the way that they go about their day to day functions. They must remain beyond suspicion at all times. They can achieve the seven principles of public life by:

- Ensuring that the interests of service users remain paramount;
- Being impartial and honest in the conduct of their official business;
- Using public funds to the best advantage of the service and the service users, always seeking to ensure value for money;
- Not abusing their official position for personal gain or to benefit family or friends;
- Not seeking advantage or to further private business or other interests in the course of their official duties; and
- Not seeking or knowingly accepting 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 WHSSC.

This Standards of Behaviour Policy re-states and builds on the provisions of Section 7 Values and Standards of Behaviour of the Standing Orders. It re-emphasises the



commitment of WHSSC to ensure that it operates to the highest standards, the roles and responsibilities of those employed by WHSSC, and the arrangements for ensuring that declarations of interests, gifts, hospitality, honoraria and sponsorship can be made. The policy is supported by a short guide on the Standards of Behaviour Framework (see Appendix 1) that provides a summary of expected conduct.

There are also a number of Professional Codes of Conduct which complement this policy. These are as follows:

- Nursing and Midwifery Council: <https://www.nmc.org.uk/standards/code/>
- Health and Care Professions Council: <http://www.hcpc-uk.co.uk/>
- NHS Consultants and General Practitioners: <http://www.gmc-uk.org/guidance/index.asp>

2.2 WHSSC Organisational Values

WHSSC has also developed its own values and behaviour framework:

PUTTING PEOPLE FIRST

RESPECT

- We will listen to everyone's views
- We will treat people fairly
- We will recognise everyone's contribution

PARTNERSHIP

- We will work as a team
- We will communicate effectively
- We will build strong and inclusive relationships
- We will be positive role models

IMPROVEMENT & INNOVATION

- We will continuously learn
- We will strive for excellence
- We will accept challenge and opportunity

TOGETHER WE MAKE A DIFFERENCE

GIG CYMRU NHS WALES | Tim Gwasanaethau Iechyd Arbenigol Cymru Welsh Health Specialised Services Team

The development of the values involved a process of engagement using one to one conversations, detailed behaviour feedback and workshops.



3. SCOPE

This policy is applicable across the whole of WHSSC. It applies to all employees and Independent Members. The term “employees” includes all those who have a contract of employment or honorary contract with WHSSC - Cwm Taf Morgannwg Local Health Board.

4. AIM

WHSSC is committed to ensuring that all employees and Independent Members practice the highest standards of conduct and behavior.

The aim of this policy is to ensure that arrangements are in place to support employees and Independent Members to act in a manner that upholds the Standards of Behaviour Framework, as well as setting out the arrangements in place to manage declarations of interests, gifts, hospitality, honoraria and sponsorship, through the standard forms in place.

The policy also aims to capture public acceptability of behaviours of those working in the public sector in order that WHSSC can be seen to have exemplary practice in this regard.

5. OBJECTIVES

The objective of this policy is to clarify the relative responsibilities of employees and Independent Members in the discharging of this policy and adhering to the Standards of Behaviour Framework.

The policy is designed to assist WHSSC and its employees and Independent Members in maintaining ethical standards in the conduct of NHS business. It sets out the principles WHSSC’s expects all employees to uphold, and the steps which WHSSC as an employer will take to safeguard the organisation where conflicts of interest arise.

A conflict of interest can be defined as ‘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.'

A conflict of interest may be:

- actual - a material conflict between one or more interests
- potential/perceived – the possibility of a material conflict between one or more interests in the future

All employees are expected to be familiar with the content of this policy, and line managers have a responsibility for bringing the policy to the attention of their staff.

6. RESPONSIBILITIES

6.1 Chairman

The Chairman has the responsibility for performance managing the Independent Members of WHSSC through the annual individual performance review process on behalf of the Cabinet Secretary for Health and Social Services, and also has the responsibility for holding the Managing Director to account.

The Chair should:

- Ensure that Independent Board Members are aware of the requirements contained within this Policy and the Standards of Behaviour Framework.
- They lead by example and ensure that they personally declare any relevant interest or the offer of gifts, hospitality or sponsorship.
- Approve (or not) the acceptance of gifts, hospitality and sponsorship that have been offered to Independent Board Members PRIOR to the event.

6.2 Managing Director

The Managing Director is the 'Accountable Officer' with overall responsibility for ensuring that WHSSC operates efficiently, economically and with probity. The Managing Director will ensure a policy framework is set and that arrangements are in place to support the delivery of that framework.

6.3 Committee Secretary

The Committee Secretary has delegated responsibility for ensuring that the WHSSC is provided with competent advice and support regarding the contents and application of this policy and the Standards of Behaviour Framework.



The Committee Secretary will ensure that:

- A Register of Interests is established and maintained as a formal record of interests declared by employees and Independent Members. The Register will include details of directorships, pecuniary (financial) and non-pecuniary interests in organisations that may have dealings with the NHS, and membership of professional committees and third sector bodies. Where relevant, it will also include details of interests of close family members (spouse, partner, civil partner, children, etc.).
- Arrangements are in place to prompt specific groups of employees and Independent Members to complete a Declaration of Interest Form on initial employment with WHSSC, and at periodic intervals thereafter i.e. Independent Members, Executive Directors and Assistant Directors on an annual basis. (N.B. It is the individual employee's or Independent Member's responsibility to make a declaration should their circumstances change within these timescales).
- Scrutiny is applied to the declaration forms received to ensure appropriate declarations and acceptances have been made in compliance with the Standards of Behaviour Policy.
- A Register of Gifts, Hospitality, Honoraria and Sponsorship, whether accepted or declined, is maintained.
- The Registers of Interests and Gifts, Hospitality, Honoraria and Sponsorship are published on WHSSC's internet site in accordance with the requirements of the organisation's Freedom of Information Act Publication Scheme.
- Reports detailing the content of the Registers of Interests and Gifts, Hospitality, Honoraria and Sponsorship, and the effectiveness and adequacy of the arrangements in place, are provided as a regular agenda item to the Audit Committee.
- The forms that employees and Independent Members should complete when making a declaration of interest or when advising of gifts, hospitality, honoraria or sponsorship accepted or declined, are available on the WHSSC's intranet site (and attached at Appendices 2 and 3).

6.4 Executive Directors

Executive Directors must ensure that:

- Employees are aware of the requirements contained within this policy and the Standards of Behaviour Framework.



- They lead by example and ensure that they personally declare any relevant interest or the offer of gifts, hospitality, honoraria or sponsorship.
- Approve, or decline the acceptance of gifts, hospitality, honoraria and sponsorship that have been offered within their functions / Divisions **prior** to the event (and during periods of annual leave and prolonged absence, ensure that their responsibilities are delegated to their nominated deputy).
- They review the contents of the Registers of Interests and Gifts, Hospitality, Honoraria and Sponsorship to assist with the verification of the accuracy of the information contained within it when alerted to do so by the Head of Corporate Governance on behalf of the Director of Corporate Governance.
- They ensure any acceptances of gifts, hospitality, honoraria or sponsorship complies with the standards outlined within this policy.

6.5 Departmental/Line Managers

Departmental/Line Managers will:

- Ensure that this policy and the Standards of Behaviour Framework is brought to the attention of employees for whom they are responsible, and that they are aware of its implications for their work.
- Ensure that employees are aware of the requirement to follow and comply with the policy and Standards of Behaviour Framework, through discussions at Performance Appraisal Development Reviews, Consultant Appraisals and as part of the Consultant Job Plan Reviews, as appropriate.
- Support their employees in the application of the policy and the Standards of Behaviour Framework, seeking advice from the Committee Secretary, where necessary.

6.6 Employees and Independent Members

All employees and Independent Members must ensure that they:

- Understand this policy and the Standards of Behaviour Framework, consulting their line manager if they require clarification.
- Are not in a position where their private interests and NHS duties may conflict. Employees and Independent Members must declare all private interests which could potentially result in personal gain as a consequence of their position within WHSSC.
- Declare to WHSSC for recording in the Register of Interests any relevant interests at the commencement of employment; whenever a new interest arises; or if asked to do so at periodic intervals by WHSSC. Relevant interests (including those of close family members or associates) may include:



- Directorships, including Non-Executive Directorships held in private companies or Public Limited Companies (PLCs), with the exception of dormant companies;
 - Ownership or part-ownership, of private companies, businesses or consultancies likely or possibly seeking to do business with WHSSC. This includes shareholdings, debentures or rights where the total nominal value is £50,000 or one hundredth of the total nominal value of the issued share capital of the company or body, whichever is the less;
 - A personal or departmental interest in any part of the pharmaceutical/healthcare industry that could be perceived as having an influence on decision making or on the provision of advice to members of the team;
 - Sponsorship or funding from a known NHS supplier or associated company/subsidiary;
 - A position of authority in a charity or voluntary body in the field of health and social care;
 - Any other connection with a voluntary, statutory, charitable or private body that could create a potential opportunity for conflicting interests;
 - Self-employment or employment by any other body where there could be a perceived or actual conflict with NHS duties. This includes the undertaking of agency working and private practice.
 - Research funding/grants that may be received by an individual or their department.
- Verbally declare any relevant interest when a potential for conflict arises e.g. at Joint Committee and Sub-Committee meetings, during procurement processes, and at other Divisional / Departmental meetings, as appropriate.
 - Obtain permission from their Director **prior to** accepting a gift, hospitality, honoraria or sponsorship which requires declaring and recording in the Register of Gifts, Hospitality, Honoraria and Sponsorship.
 - Observe the Standing Orders, Standing Financial Instructions and procedures of WHSSC.
 - Where employees or Independent Members wish to engage in any outside employment which may affect their contractual obligation to WHSSC, they must first discuss it with their Departmental/Line Manager. This will ensure that their position in WHSSC is not compromised. Agreement to such outside employment will not be unreasonably refused.

It is the responsibility of all employees and Independent Members to ensure they are not placed in a position that risks, or appears to risk conflict between their private interest and the NHS. This responsibility applies to all WHSSC staff, including



those who commit resources directly by ordering goods or services, and those who do so indirectly.

The onus regarding declaration will reside with the individual employee or Independent Member. It is recognised that a judgement may be required in individual circumstances regarding the appropriateness for a declaration to be made when, for example, there is a specific contractual situation, a set of circumstances, or series of specific circumstances or a close connection. Advice should be sought from the Head of Corporate Governance or the Committee Secretary in this regard as such an interest may be deemed to be a potential conflict to the business of WHSSC. Where there is doubt, a declaration of interest should be made.

Appointing officers, for example, must declare any known relationship with potential applicants, and where a relationship is declared, the appointing officer must not be involved in any decisions relating to financial aspects of the individual's offer of employment. On an ongoing basis, there should not be any involvement in any other financial decisions relating to the individual to whom the manager has declared any relationship. This shall include salaries, re-grading, authorisation of travelling expenses, overtime payments, etc.

7. REGISTER OF INTERESTS

The Committee Secretary will be responsible for ensuring that a Registers of Declarations of Interests and Gifts, Hospitality and Sponsorship is maintained. Appropriate information from these Registers will be available on the WHSSC website.

The paper copy of the Register, together with the forms which are used to inform its contents will be retained by the WHSSC Corporate Services Department.

An electronic system for recording of Declarations of Interest via ESR will be adopted when available and deemed suitable.

The Register will be available for public inspection. Enquiries should be made to the Committee Secretary / Corporate Governance Officer.

8. DECLARATIONS OF INTEREST AT MEETINGS



It is a requirement that at the beginning of every Joint Committee sub-committee or decision making / formal WHSSC meeting, members and those in attendance are invited to declare their interests in relation to any items on the agenda. Where a potential conflict is material or the individual has a financial/pecuniary interest in the matter under discussion, the individual shall withdraw from discussions pertaining to that agenda item and shall not vote upon it. The potential conflict and the action taken to avoid it will be recorded in the minutes of the meeting and the Register of Interests will be updated if required.

Where it becomes evident part way through a meeting that there may be a potential conflict, the individual must declare their interest immediately. Under certain circumstances, the Chair may choose to waive the need for the individual to leave the meeting. The advice of the Committee Secretary should always be sought prior to such a decision being made.

From time to time, employees and Independent Members may need to declare interests at other NHS organisations or partnership meetings. Such declarations will be recorded as if it were a Joint Committee or sub-committee meeting and the individual will be asked to withdraw from discussions pertaining to that agenda item.

9. GIFTS, HOSPITALITY, HONORARIA AND SPONSORSHIP

Employees and Independent Members have a personal responsibility to volunteer information regarding offers of gifts, hospitality, honoraria and sponsorship, including those offers that have been declined.

Employees should seek approval from their Executive Director, prior to accepting any gifts, hospitality, honoraria or sponsorship. These details must be recorded on a Gifts, Hospitality, Honoraria and Sponsorship Form (see Appendix 2) and submitted to the Committee Secretary for inclusion on the register.

In determining whether to accept gifts, hospitality, honoraria and sponsorship, it is not always possible to make explicit a situation in which these may be considered acceptable as each offer should be considered independently. In determining whether any offer of a gift, hospitality, honoraria or sponsorship should be accepted, the following principles should be considered:



- **Openness:** It has been openly offered and the offer will not be construed as any form of inducement and will not put the individual under any obligation to those offering it;
- **Legitimate interest:** Regard should be paid to the reason for the contact on both sides and whether it is a contact that is likely to benefit WHSSC i.e. further the aims of the organisation;
- **Relationship:** Consideration should be given as to whether WHSSC is likely to enter into a contractual relationship with the organisation/individual making the offer;
- **Value:** Gifts and benefits of a trivial or inexpensive seasonal nature, e.g. diaries/ calendars, are more likely to be acceptable and can be distinguished from more substantial offers. Similarly, hospitality in the form of a working lunch would not be treated in the same way as more expensive social functions, travel or accommodation;
- **Frequency:** Acceptance of frequent or regular invitations particularly from the same source would breach the required standards of conduct;
- **Reputation:** If the body concerned is known to be under investigation by, or has been publicly criticised by, a public body, regulators or inspectors, acceptance of a gift or hospitality might be seen as supporting the body or affecting in some way the investigation or negotiations. As such it should always be declined.

Employees must be impartial and honest in the conduct of business and remain beyond suspicion. It is an offence under the Bribery Act 2010 for an employee to accept a bribe in his or her official capacity, or to corruptly show favour or disfavour in the handling of contracts or other business. Employees need to be aware that a breach of the provisions of this Bribery Act may render them liable to prosecution and disciplinary action.

The Bribery Act introduced a new criminal offence in 2011 where an individual or organisation offers or receives a bribe to bring about or reward the improper performance of a function or activity. Broadly, the Act defines bribery as 'Giving or receiving a financial or other advantage in connection with the "improper performance" of a position of trust, or a function that is expected to be performed impartially or in good faith.'

Bribery has the potential to impact upon an employees' or Independent Members' standard of behaviour, particularly in regard to the acceptance of gifts, hospitality, honoraria or sponsorship, although guidance on the Act indicates that only 'lavish'



hospitality, or hospitality that is otherwise 'inappropriate' would normally fall under the bribery definition.

The Bribery Act also introduced a 'corporate offence' of failing to prevent bribery by the organisation not having adequate preventative procedures in place. This is not a standalone offence, but always follows from a bribery and/or corruption offence committed by an individual associated with the company or organisation in question.

However, an organisation can avoid conviction if it can show that it had procedures and protocols in place to prevent bribery. The provisions within this Standards of Behaviour Policy in terms of prohibiting the giving or acceptance of inappropriate gifts, hospitality, honoraria and sponsorship complies with the requirements of the Bribery Act and subsequent guidance.

Employees and Independent Members are therefore expected to:

- Report any issues relating to fraud, bribery or corruption to the Local Counter Fraud Specialist within Cwm Tag Morgannwg Health Board;
- Declare any external interest which may result in the employee or persons known to the employee gaining direct or indirect financial advantage as a consequence of their work, which could influence any decisions made by the employee, or which could interfere with contractual obligations to the organisation;
- Ensure the interests of patients are paramount and that use or management of any public funds ensures value for money;
- Check each payslip as soon as possible following receipt to ensure that the amount paid is correct, with any queries raised with the line manager. If the employee believes that they have been overpaid, they must declare it without delay. Where employees do not understand their payslip, they should contact the Payroll Department.

The risks of breaching the Bribery Act include the following:

- Criminal justice sanctions against Board Members, Directors and other senior staff;
- Damage to the organisation's reputation;
- Conviction of bribery or corruption may lead to the organisation being precluded from future public procurement contracts;
- Potential diversion and/or loss of resources;
- Unforeseen and unbudgeted costs of investigations and/or defence of any legal action; and



- Negative impact on patient/stakeholder perceptions.

Guidance regarding the types of gifts, hospitality, honoraria and sponsorship which may or may not be acceptable is provided below:

9.1 Gifts

A gift is an item of personal value, given by a third party e.g. a patient, donor or a supplier. The definition includes prizes in draws and raffles at sponsored events/conferences.

It is an offence to accept any money, gift or consideration as an inducement or reward from a person or organisation holding or seeking to hold a contract with

WHSSC. Such gifts should be refused and if they have already been received they should be returned clearly advising why they cannot be accepted.

The appropriate Executive/Divisional Director and the Head of Corporate Governance on behalf of the Director of Corporate Governance should be advised immediately.

Any acceptance of a gift needs to be justified. Think about the context in which the offer has been made, and the effect on your position. For example, is the gift likely, or could it be seen as likely, to influence you? The onus is on you to make sure that the acceptance of a gift will not be misconstrued.

This Standards of Behaviour Policy excludes gifts between members of staff, for example birthday presents or leaving gifts.

9.2 Gifts from Service Users or their relatives

Gifts up to the value of £25 may be accepted from service users and relatives as a mark of their appreciation e.g. for the care that has been provided. This can include gift vouchers/ cards. A common sense approach should be applied to the valuing of gifts using an actual amount if known, or an estimate that any reasonable person would make as to its value.

There is no requirement to declare such gifts up to this value, other than where several small gifts are received to the value of £25 from the same or closely related source in a 12 month period. Where gifts are provided to a group of staff, it is the responsibility of the Line Manager to declare the gift if over the value of £25.



Where a gift is offered that is likely to be over £25 in value it should be politely declined. In some cases the gift may have already been made and it may be difficult to return it, or it may be felt that the bearer may be offended by the refusal. Under such circumstances the gift can be accepted, and the bearer advised that it will be utilised for the benefit of Charitable Funds e.g. used as a prize in a raffle. A Gifts, Hospitality, Honoraria and Sponsorship Form (see Appendix 2) declaring that the gift has been received must be completed.

Personal gifts of cash from service users or their relatives is **not** acceptable. These may only be accepted as a donation to an appropriate Charitable Fund and recorded as such.

The Committee Secretary can provide advice regarding the mechanism for appropriately receipting such items in accordance with the Institute of Fundraising Code.

9.3 Gifts from Suppliers, Contractors and Commercial Organisations

Low cost, branded or promotional gifts may be accepted where they are under the value of the common industry standard of £6 in total (selected with reference to existing industry guidance issued by the ABPI) and need not be declared. Any gifts outside this definition from suppliers, contractors and other commercial organisations doing business or likely to do business with WHSSC above this value, should be politely but firmly declined.

Whilst it is not necessary to declare gifts of low intrinsic value, where other items are offered and declined, a Gifts, Hospitality, Honoraria and Sponsorship Form (Appendix 2) should be completed to allow WHSSC to monitor when such organisations are inappropriately offering gifts or potential inducements.

9.4 Gifts from Dignitaries/Overseas Organisations

There may be occasions when visits are made by dignitaries or overseas organisations who consider it 'culturally custom and practice' to exchange gifts. In such cases, employees should seek guidance from the Committee Secretary and declare these gifts on a Gifts, Hospitality, Honoraria and Sponsorship Form (see Appendix 2). A decision will then jointly be made as to the most appropriate way to manage the gift. This will depend on the nature of the 'gift culture' and may include decisions to 'keep and display in public', 'donate to an internal user group', 'auction for charity', etc.



9.5 Bequests/Legacies/ Wills

Employees are not permitted to accept bequests left to them by a deceased patient who became known to them through providing care or treatment as part of their WHSSC employment. Accepting a gift of this nature, particularly where a patient is considered vulnerable, could leave the staff member open to accusations of financial abuse, fraud (by abuse of position) or misconduct. If an employee is made aware that they may be a beneficiary in a patient's will, they must declare this, with any complex cases escalated to the Committee Secretary.

10. HOSPITALITY

Hospitality is where there is an offer of food, drink, accommodation, entertainment or entry into an event or function by a third party, regardless of whether provided during or outside normal working hours e.g. attendance at an awards ceremony, cheque presentations in respect of fundraising events.

Employees and Independent Members should refuse hospitality which may compromise or may be seen to compromise their professional judgement or integrity, or which seeks to exert influence to obtain a preferential consideration.

Employees in contact with contractors should be particularly mindful of accepting any offer of hospitality that might later be misconstrued as impacting on strict independence and impartiality. Where pressed to accept an offer, the employee to whom the offer has been made should seek further advice from their manager who may contact the Committee Secretary, where appropriate.

Any acceptance of hospitality needs to be justified. Think about the context in which the offer has been made, and the effect on your position. For example, is the hospitality likely, or could it be seen as likely, to influence you? The onus is on you to make sure that the acceptance of hospitality will not be misconstrued.

Hospitality must be authorised by an Executive Director prior to their acceptance and a Gifts, Hospitality, Sponsorship and Honoraria form (Appendix 2) must be completed. The hospitality should be proportionate i.e. it should not be of significant value and only the minimum number of members of staff to achieve the purpose of representing the organisation should attend.



Offers which go beyond modest, or are of a type that the organisation itself might not usually offer, need authorisation from an Executive Director, and should only be accepted in exceptional circumstances, and must be declared.

For example, employees may receive an offer of payment for their travel and accommodation, when invited to speak at an event or attend a meeting. 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 on a Gifts, Hospitality, Sponsorship and Honoraria form (see Appendix 4). However, where business class or first class travel and accommodation (including domestic travel) or offers of foreign travel and accommodation are offered, a clear reason should be recorded on the declaration form as to why it is deemed permissible to accept travel and accommodation of this type.

10.1 Acceptable Hospitality

Employees and Independent Members may accept the occasional offer of hospitality, provided that it is 'modest and proportionate' and similar in scale to that offered by the NHS. For example, acceptance of food and non-alcoholic refreshments during the working day will generally be deemed acceptable and need not be declared.

Hospitality must be secondary to the purpose of a meeting. The level of hospitality offered must be appropriate and not out of proportion to the occasion; and the costs involved must not exceed the level which the recipients would normally adopt when paying for themselves, or that which could be reciprocated by the NHS. It should not extend beyond those whose role makes it appropriate for them to attend the meeting.

Other hospitality may be accepted where it furthers the aims of WHSSC, provided it is normal and reasonable in the circumstances, for example lunches in the course of working visits. Where the value is estimated to be over £25, a declaration should be made.

Other hospitality that may be accepted but will need to be declared includes instances where:

- There is a genuine need to impart information, or represent the organisation at stakeholder community events e.g. Local Authority or charitable organisations which have an association with WHSSC;
- An employee has been invited to receive an award or prize in connection with the work of the organisation, or their role within it;



- An employee is invited to a Society or Institute dinner or function which is to be funded by a commercial organisation and where there is a genuine benefit to the professional standing of the individual or WHSSC.
- An event is clearly part of the life of the stakeholder community or where the organisation should be seen to be represented;
- A function or event is hosted for both staff and non-staff, which adds benefit and value to WHSSC or the wider NHS;
- A function or event is hosted externally for staff only for the purposes of training or organisational development.

These types of hospitality must be authorised prior to their acceptance by an Executive, /Divisional Director and a Gifts, Hospitality, Honoraria and Sponsorship Form (see Appendix 2) must be completed. The hospitality should be proportionate i.e. it should not be of significant value and only the minimum number of employees to achieve the purpose of representing WHSSC should attend.

10.2 Unacceptable Hospitality

Unacceptable hospitality includes the following examples as general guidance:

- A holiday or weekend/overnight break;
- Offers of hotel accommodation when this is not associated with a sponsored course or conference (see below);
- Use of a company flat or hotel suite;
- Attendance at a function or event restricted to employees which is not for the purposes of training or organisational development;
- Lunch or dinner provided by a private company or their representative which does not form part of a training or development event;
- Entertainment and/or tickets/hospitality at sporting and other corporate entertainment events.

If employees are not clear whether an offer falls into one of these categories, advice should be sought from their line manager or the Head of Corporate Governance.

Employees should report any case where they have felt pressurised into accepting an offer of hospitality which might be open to objection. They should also declare on the appropriate form any offers of hospitality which are declined.

11. SPONSORSHIP



Sponsorship is an offer of funding to an individual, team or to WHSSC from an external source, whether in cash, goods, services or benefits.

Sponsorship is sometimes provided by organisations to allow employees to attend conferences. It may also include sponsorship of posts and research and development.

Employees may be offered sponsorship in the form of sponsored research, including publishing, an operational post, training, and costs associated with meetings, conferences or a working visit. The sponsorship may cover some or all of the costs.

No sponsorship should be accepted without the prior agreement of the appropriate Executive Director. A Gifts, Hospitality, Honoraria and Sponsorship Form (see Appendix 2) should be completed prior to the acceptance of any sponsorship. If sponsorship is inappropriately offered and/or declined, this should also be declared. In cases of doubt, advice from the Head of Corporate Governance or the Director of Corporate Governance should be sought.

Any acceptance of sponsorship needs to be justified. Think about the context in which the offer has been made, and the effect on your position. For example, is the sponsorship likely, or could it be seen as likely, to influence you? The onus is on you to make sure that the acceptance of any sponsorship will not be misconstrued.

Some health related companies provide commercial sponsorship to the NHS, including sponsoring equipment, employees and training events. In accordance with the All Wales Code of Conduct (Business) for NHS staff, all employees must consider fully the implications of a proposed sponsorship deal before entering into any arrangement. Only very senior managers with the necessary authority can sign up to, or enter into, any advertising contract or agreement with a company or its representatives. Employees must not allow unauthorised advertising on WHSSC premises or documentation.

More detail is provided below regarding the many forms that sponsorship may take. This list is not exhaustive and offers of other sponsorship will need to be considered on a case by case basis.

11.1 Commercial Sponsorship for Attendance at Courses / Conferences



Employees may accept sponsorship for attendance at relevant conferences and courses, but only where attendance would further the aims of the WHSSC and where the employee has obtained permission in advance from their Executive Director and in line with Cwm Taf Morgannwg's Study Leave Policy. The sponsorship should only be extended to the number of employees who would have normally attended if funded by WHSSC. The employee and the Executive Director must be satisfied that acceptance will not compromise purchasing or any future decision-making in any way.

11.2 Commercial Sponsorship to attend Demonstrations/Technical Evaluations

Employees may be invited to view products or equipment at another location. There may be occasions when it is appropriate as part of a procurement exercise to visit a suppliers' reference site to observe equipment in operation in a medical or laboratory setting. Such sponsorship is not usually considered appropriate and WHSSC will normally meet the costs of such a visit so as to protect the integrity of subsequent purchasing decisions.

Arrangements whereby the company meets all or part of the cost of such a visit must be approved by the appropriate Executive Director following consideration of the implications for the integrity of subsequent purchasing decisions.

11.3 Commercial Sponsorship – 'Linked Deals'

Pharmaceutical companies and other suppliers may offer to sponsor, wholly or partially, a post or equipment. WHSSC will not enter into such arrangements, unless it has been made clear to the company concerned that the sponsorship will have no effect on purchasing decisions.

Linked deals must be approved and managed within an agreed process in order that appropriate monitoring arrangements are established to ensure that purchasing decisions are not being influenced by the sponsorship agreement. Under no circumstances may 'linked deals' be agreed, whereby sponsorship is linked to the purchase of particular products, or to supplies from particular sources.

11.4 Sponsored Posts

Sponsored posts are posts that are funded, in whole or in part, by organisations external to the NHS. Sponsored posts can offer benefits to the delivery of care, providing expertise, extra capacity and capability that might not otherwise exist if funding was required to be used from the NHS budget. However, safeguards are required to ensure that the deployment of sponsored posts does not cause a conflict



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of interest between the aims of the sponsor and the aims of the organisation, particularly in relation to procurement and competition.

The following should be considered when sponsored posts are offered:

- External sponsorship of a post requires prior approval from the relevant Executive Director.
- Rolling sponsorship of posts should be avoided unless appropriate checks 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 should 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.

The relevant Executive Director should declare any posts sponsored by external organisations on a Gifts, Hospitality, Sponsorship and Honoraria form (see Appendix 2) and submit it to the Committee Secretary for recording on the register.

11.5 Sponsorship of Events in the Context of Partnership Arrangements with the Pharmaceutical Industry or other Commercial Organisations

The pharmaceutical industry and allied commercial sector representatives may organise meetings, conferences or an activity in support of specific functions or specialties within the healthcare sector. Under such arrangements they are permitted to fund the hiring of accommodation, meet any reasonable actual costs which may have been incurred and to provide appropriate hospitality. If no hospitality is required, there is no obligation or right to provide it, or indeed any benefit of equivalent value.

The Pharmaceutical Industry is expected to adhere to the ABPI Code of Practice for the Pharmaceutical Industry which clearly specifies what is and what is not acceptable; this is available via the following link:.

<http://www.pmcpa.org.uk/thecode/Pages/default.aspx>



An example of hospitality which would not be acceptable under these circumstances is where a company takes the attendees, on the conclusion of a course, for a meal in a restaurant.

Where WHSSC receives or invites offers of sponsorship for events which are hosted wholly or partly by the Joint Committee, the relevant Executive/Divisional Director must consider whether it is appropriate to accept the offer. For all offers, whether accepted or declined, a Gifts, Hospitality, Sponsorship and Honoraria form (see Appendix 2) must be completed and sent to the Committee Secretary. The following guiding principles should apply:

- 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 for WHSSC 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.
- 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.
- Members of 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.
- Members of staff arranging sponsored events must declare this to the organisation.

Whilst it is recognised that sponsorship can provide a useful source of funding for particular events or activities, it can also present risks and in considering whether to accept sponsorship, the following principles should be adhered to:

- Sponsorship should be sought in an open and consistent manner with opportunities being offered as widely as possible;
- Benefits should be for WHSSC (not an individual) and should be proportionate;
- Arrangements must not compromise the reputation of the Joint Committee;
- Sponsorship should be for a specific activity or event and not a general endorsement of the Joint Committee;



- The sponsorship must not imply WHSSC endorses particular products, services or companies and organisations;
- Sponsorship should not be accepted from inappropriate sources, such as companies with dubious or doubtful backgrounds or who have poor financial or business practices;
- Any arrangements which could bring adverse publicity to the event or the Joint Committee.

Particular care should be taken when considering sponsorship from companies or organisation for which WHSSC has, or could have, contractual business arrangements.

The above principles should be adhered to and a renewal or an award of a contract should not be influenced by any sponsorship arrangements.

A sponsor would normally expect to receive a reciprocal benefit which may be beyond a modest acknowledgement, and companies may seek sponsorship for a number of legitimate business reasons. These include:

- To raise the company's image and profile;
- To improve public/community relations;
- To generate public exposure and media coverage;
- To differentiate the company from its competitors;
- To increase profit/market share.

Careful consideration should always be given to understanding what a sponsor might gain from the arrangement and these should be in-keeping with the principles listed above.

Employees and Independent Members may, on occasion, be asked to provide an endorsement of an event, conference or training course that they have attended which was organised by a third party. Caution should be exercised in these circumstances as it may not be appropriate to cite such an endorsement. It is also important to consider any potential future conflict for example, where the third party may be in the process of re-tendering for the work or be seeking commercial gain from the endorsement.

WHSSC may also receive unsolicited proposals for sponsorship which is not in response to any action that the WHSSC has taken. WHSSC should carefully consider



such offers and ensure that the proposal meets the Joint Committee's requirements, standards and principals. WHSSC will need to ensure there are no conflicts of interest or that better value for money cannot be obtained by testing wider market interest.

All sponsorship arrangements should be approved by the appropriate Executive Director as appropriate.

12. HONORARIA

An honorarium is an ex gratia payment i.e. one which would not usually be expected to be provided.

Employees may be invited to give presentations at conferences, provide responses to surveys or attend professional meetings where a one off payment or honoraria is offered.

If this activity is to be undertaken during hours when the employee is contracted to work for WHSSC, the payment should be made to WHSSC. Individuals may accept payment for activities that they undertake in their own time, subject to the provisions regarding outside employment contained within the various employee Contracts and Terms of Service. The activity should be reported using a Gifts, Hospitality, Honoraria and Sponsorship Form (see Appendix 2) and it should be authorised by the appropriate Committee Secretary/Executive Director.

N.B There are tax and national insurance contribution implications relating to honoraria that should be borne in mind as set out below:

- **Honoraria received for work undertaken during WHSSC hours** - when appropriate authorisation has been granted to permit an employee to be involved in activity outside their normal contract during WHSSC hours, any honoraria paid must be received back to the WHSSC's revenue budget to reimburse WHSSC for the employee's time.

To ensure good governance, the honoraria must be paid into a revenue budget that is **not** managed by the employee who has provided their services during WHSSC time.

To avoid personal tax implications, the employee is strongly advised to request the honoraria is paid directly to WHSSC. This is then seen as reimbursement



to WHSSC to cover the loss of employee time, and not honoraria. This money will then be transferred into WHSSC revenue budget. The employee who has undertaken the work must **not** be the budget holder for the budget receiving the funds in lieu of the honorarium to avoid any conflict of interest.

Where the employee receives the honoraria directly and then reimburses WHSSC, the employee remains liable for the payment of both tax and National

Insurance Contributions (NIC), regardless of the final destination of the honoraria.

- **Honoraria received for work undertaken in an individual's own time (out of normal working hours or on authorised annual leave)** - individuals are personally liable for the payment of both tax and NICs on any honoraria payments received for work undertaken in their own time. Following their first receipt of honoraria in this instance employees will be asked to sign the declaration statement that will be held on file by the Committee Secretary which confirms they understand their responsibilities regarding Tax and NICs. (See Appendix 4).

In cases of doubt, employees should seek advice from the Committee Secretary and should report any case where an offer of sponsorship or honoraria is pressed which might be open to objection.

Instances where honoraria has been offered and declined should be declared on the Gifts, Hospitality, Honoraria and Sponsorship Declaration Form (see Appendix 2).

13. USE OF WHSSC BRANDING

Permission needs to be obtained from the Managing Director on all occasions where approaches are made by an outside organisation seeking to use WHSSC's branding in connection with an event or function. Permission should also be sought by any member of staff wishing to use the logo in connection with any non-WHSSC related matter/event.

14. RESEARCH AND DEVELOPMENT



All research and development sponsored by commercial companies, including those sponsored by the pharmaceutical industry, must be approved by the appropriate mechanism, and governed by the specific policies and procedures.

15. SECONDARY EMPLOYMENT & PRIVATE PRACTICE

15.1 Secondary Employment (Paid, Unpaid or Self-Employed)

Employees should inform their line manager of any secondary employment and ensure that this does not affect their employment. Declarations should be made using the Staff Declaration of Interests Form (see Appendix 3). There should be no conflict with their normal contractual employment obligations to WHSSC, and such work should not involve the use of any confidential or commercial information obtained in the course of their employment with WHSSC.

Where employees have or are contemplating other employment, they must ensure this does not compromise their availability or physical or mental fitness to carry out their duties as an employee of WHSSC. Employees must also ensure this does not place them in a position where their judgement or actions might be influenced by considerations arising from their other employment.

Employees have a responsibility to ensure that their line manager is made aware of any hours worked in order that WHSSC fulfils its statutory requirement of the Working Time Directive; this is available via the following link.

<http://www.hse.gov.uk/contact/faqs/workingtimedirective.htm>

An employee, absent because of sickness, is regarded as unfit to work and should not undertake any paid or unpaid work in any capacity during a period of sickness absence from the organisation, unless it is deemed jointly by their manager and the Occupational Health Department to be therapeutically beneficial to their recovery. Express written permission must be granted by the manager in advance in all such cases.

An employee found to be undertaking other work during sickness absence without the prior written consent of the manager, may be considered in breach of contract and will be subject to disciplinary action which may result in the involvement of the Counter Fraud Department, the possibility of criminal investigation and/or dismissal. Such action will only be taken following advice from Cwm Taf Morgannwg Health Board Workforce & Organisational Development Department.



15.1 Private Practice

There are codes for good private patient practice which clearly include the fact that private practice should not adversely affect NHS duties.

The time spent in private practice does not count towards the 48 hours of the Working Time Directive Regulations, however, health and safety law indicates that no employee of WHSSC should work in a way detrimental to their health and performance.

Failure to notify their line manager of secondary employment and/or private practice may invoke Cwm Taf Morgannwg' Disciplinary Policy.

For medical staff, the amendment to the consultant contract in Wales clarifies the relationship between NHS work, private work and fee-paying work, in that it sets out that an NHS consultant's first responsibility is to the NHS. Participation in private medical services or fee-paying services should not result in detriment to NHS patients or services or diminish the public resources available for the NHS.

Employees should:

- Seek prior approval before taking up private practice.
- Declare what they practice (name of private facility); what they practice (specialty, major procedures); when they practice (identified sessions/time commitment).
- Ensure that, where there would otherwise be a conflict or potential conflict of interest, NHS commitments take precedence over private work.

16. REWARDS FOR INITIATIVE

Potential intellectual property rights (IPR) should be identified, as and when they arise, in order to protect and ensure that WHSSC receives any rewards or benefits (such as royalties) in respect of work commissioned from third parties, or work carried out by its employees in the course of their duties.

Most intellectual property is protected by statute e.g. patents are protected under the Patents Act 1977, and copyright (which includes software programmes) under the Copyright Designs and Patents Act 1988. Appropriate specifications and



provisions should be built into contractual arrangements before they are entered into or before work is commissioned or begins. Legal advice or advice provided via the Research & Development Department should be sought if in doubt in any specific cases.

With regard to patents and inventions, in certain defined circumstances the Patents Act gives employees a right to obtain reward for their efforts, and the WHSSC should agree a suitable reward for individual circumstances as appropriate. Other rewards may be given voluntarily to employees who within the course of their employment have produced innovative work of outstanding benefit to the NHS. Similar rewards should be voluntarily applied to other activities such as giving lectures and publishing books and articles.

In the case of collaborative research and evaluative exercises with manufacturers, WHSSC should obtain a fair reward for the input its employees provide. If such an exercise involves additional work for an employee outside that paid for by the WHSSC under their contract of employment, arrangements should be made for a share of any rewards or benefits to be passed on to the employee(s) concerned from the collaborating parties.

Care should be taken that involvement in this type of arrangement with a manufacturer does not influence the purchase of other supplies from them.

Employees are reminded that all information generated during the course of their employment with WHSSC is the property of WHSSC and remains so, irrespective of origin or authorship.

Conflicts of interest can arise when a member of staff who hold patents and other intellectual property rights, is involved in decision making and procurement. In addition, where product development involves use of time, equipment or resources from the organisation, this can also create risks of conflicts of interest, and it is important that WHSSC is aware of this in order to manage it appropriately.

Employees are responsible for:

- Declaring 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 reasonably be expected to be, related to items to be procured or used by the organisation.



- Seeking prior permission from WHSSC before entering into any agreement with bodies regarding product development, research, work on pathways, etc., where this impacts on the organisations 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 management actions outlined in this policy should be considered and applied to mitigate risks.

Members of staff are also reminded of their responsibilities to ensure the correct use of copyrighted information.

Advice on Intellectual Property and copyright is available from Cwm Taf Morgannwg Research & Development Manager and Intellectual Property Policy.

17. SOCIAL NETWORKING SITES

All employees must uphold the reputation of WHSSC and their professional body where appropriate, at all times. This means that conduct online and conduct outside of work should be judged in the same way, and should be of a similar high standard.

The All Wales Social Media Policy, accessible via the following link: <http://ctuwb-intranet/Policies/view/Corp.aspx> sets out employee's responsibilities when using social media, and the implications involved. The term social media is used in reference to all Internet social networking and media sharing sites, such as Facebook, Twitter, YouTube, Snapchat, Instagram, Flickr etc., and to all 'blogs', 'chat', on-line commentaries, diaries, discussion forums, 'wikis' and sites allowing the posting of user generated content for mass consumption.

The policy is not intended to stop the use of social media, indeed WHSSC itself is making increased use of social networks to engage with patients, service users, staff and other stakeholders to deliver key messages, but rather to outline areas of best practice and illustrate where problems can arise for individuals and NHS Wales. It applies to the use of social media for business and personal purposes, both at work and outside of the work environment.

WHSSC acknowledges that everyone has a right to express themselves using social media but also recognises its role in offering advice on the safe use of social media and highlighting the responsibility of employees to be aware of the potential



consequences of posting content on to publically accessible platforms. The blurring of boundaries between an individual's private and professional life on social media is recognised and it is important that employees understand and are mindful that inappropriate use could damage both their and NHS Wales' reputation.

In terms of the personal use of social media, it is important for employees to understand their role as ambassadors for WHSSC and to be conscious of the impact of their actions and words online which may negatively impact on the reputation and trust of the public.

The relationship with social media changes as soon as employees identify themselves or are identified as employees of NHS Wales or WHSSC. In these circumstances, they must make it clear that any views and opinions are personal and not necessarily those of WHSSC. As an NHS Wales employee, it is important to remember that expressing views or commenting on content on the internet in relation to the NHS cannot be divorced from one's working life, and any unguarded comments could bring the organisation into disrepute, and may also invite legal action against both the employee and WHSSC.

Where WHSSC uses public Wi-Fi (wireless fidelity network), employees are encouraged to use their own personal devices to utilise any social media channels they wish to access.

However, personal use of social media should not be allowed to interfere with the performance of an employee's duties and any such access should occur during breaks or outside of normal working hours.

WHSSC reserves the right to monitor and log comments and references on social media sites, including those made by its employees, relating to itself, its employees, its services and the patients in its care.

Failure to adhere to the All Wales Social Media Policy may lead to disciplinary action up to and including dismissal, depending on the individual circumstances of the case.

18. TIME KEEPING

The time of employees is a WHSSC resource in the same way as the buildings and equipment. WHSSC spends a significant amount of its funding on salaries and wages



therefore it is essential that it receives the full value for this expenditure. Where an employee is occasionally late for work or may have to leave early, this does not necessarily present an issue provided it is discussed with the line manager concerned.

What is not acceptable is where the employee falsifies time records to disguise absence or to claim attendance. This may be fraud or may amount to obtaining a monetary advantage by deception

Employees must ensure that all time keeping records are accurately completed and if an inadvertent error is noticed, their line manager notified immediately. The types of records where care should be taken are:

- on-call registers
- additional duty hours claims
- annual leave records
- shift registers
- sickness records, including "self-certification"
- expense claims
- bank claim forms
- domiciliary visit claims
- clock cards
- flexi/time-in-lieu sheets

19. ELECTORAL CAMPAIGNS

Welsh Government has produced guidance to NHS employees on their role and conduct during election campaigns.

The general principles that should be observed during the period of elections are that, as at other times, NHS staff should not engage in activities which could give rise to the criticism that individuals paid from public funds are being used for party political purposes, or which distract attention unduly to election campaigns.

The principles set out in this guidance apply to the NHS at all times, but particular note should be taken in the period between the start of formal campaigns and polling day.



All employees and Independent Members are requested to follow these guidelines:

- The NHS and its constituent bodies have no party political affiliation. Nothing should be said or done by any employee or Independent Member in their official capacity that suggests otherwise.
- NHS employees or Independent Members should not engage in activities which could give rise to the criticism that people paid from public funds are being used for party political purposes.
- No visits to WHSSC premises will be permitted by party political candidates and/or spokespeople for the purposes of personal canvassing. Party political meetings should not be held on NHS premises during the pre-election period.
- Political posters should not be displayed in public areas on NHS premises. Other posters and advertising material purporting to be apolitical and published by other groups should be carefully scrutinised to ensure that they cannot be regarded as favouring or opposing a particular candidate or party.
- Existing health promotion campaigns can continue, but new campaigns and all high profile publicity (large scale mail drops, posters and advertising) should be deferred until after the elections.
- Social and electronic media has become more important to political parties and organisations during the pre-election period and staff should comply with existing guidance around its use both professionally and personally.
- All enquiries from political parties and candidates should be directed to the Chief Executive's Office and treated consistently.
- All media enquiries should be directed through the Assistant Director of Communications & Engagement on 02920 196161.
- Routine Joint Committee meetings which would normally be held in public may be held in the pre-election periods. Any public lectures given for educational purposes by WHSSC employees on health matters need not be cancelled or postponed, but should avoid debate or speculation on the outcome of the election and any impact that might have on government health policy.
- NHS employees are free, in their private capacity, to engage in public debate or comment during the election period. However, they should not use NHS premises or equipment and should not make comments based on information not generally available to the public. It must be clearly stated that the views expressed are those of the individual and not of WHSSC.

A full copy of Welsh Government's guidance document on conduct during election campaigns (Welsh Health Circular 2016/002) is available via the following link:

<http://gov.wales/docs/dhss/publications/160118whc002en.pdf>



20. FAILURE TO ADHERE TO STANDARDS OF BEHAVIOUR POLICY

If any employee or Independent Member fails to declare an interest or gift, hospitality, honoraria or sponsorship as defined within this policy, and then:

- participates in a decision making process where special favour is shown to unfairly award a contract; or
- abuses their official position or knowledge for the purpose of benefit to themselves, their family or friends

disciplinary action may follow. The action taken will depend on the individual circumstances and will be in accordance with Cwm Taf Morgannwg's Disciplinary Policy. Under some circumstances, failure to follow this policy could be considered gross misconduct.

In addition to any potential disciplinary action being taken, if there is any suspicion that fraud, corruption and/or bribery has been or is being committed, then all such cases must be reported at the earliest possible opportunity to the Local Counter Fraud Specialist (LCFS). This is also extended to include the inappropriate acceptance of any gifts, hospitality, honoraria or sponsorship.

Furthermore, if an employee breaches the Standards of Behaviour Policy, this could in certain circumstances result in notification/reporting to the appropriate professional codes of conducts/registration/memberships i.e. Health Professions Council (HPC), General Medical Council (GMC), Nursing and Midwifery Council (NMC), etc. This could incur registrations being revoked and employees no longer continuing to be employed in their current position within WHSSC.

Failure to declare a relevant interest by an Independent Member to WHSSC will be reported by the Chairman to the Cabinet Secretary for Health, Well-being and Sport, Welsh Government.

21. EQUALITY

WHSSC is committed to ensuring that, as far as is reasonably practicable, the way it provides services to the public and the way it treats its employees reflects their individual needs and does not discriminate against individuals or groups.



WHSSC has undertaken an Equality Impact Assessment to establish whether there are any possible or actual impacts that this policy may have on any groups in respect of gender (including maternity and pregnancy as well as marriage or civil partnership issues), race, disability, sexual orientation, Welsh language, religion or belief, transgender, age or other protected characteristics.

The assessment found that there was **no impact** to the equality groups mentioned above. Where appropriate, WHSSC will make plans for the necessary actions required to minimise any stated impact to ensure that it meets its responsibilities under the equalities and human rights legislation.

22. RESOURCES

The implementation and management of the arrangements associated with this policy and the Standards of Behaviour Framework do not present any significant resource implications to WHSSC.

23. TRAINING

All staff are required to comply with this Standards of Behaviour Policy. Whilst there are no particular training requirements or formal training programmes in place to ensure implementation of the policy, each Executive Director and Line Manager must ensure that all employees are made aware of the policy provisions and that they are adhered to at all times.

Awareness of the importance of compliance with the policy will require reference to it in induction programmes, during Performance Appraisal Development Reviews and at times when employees and Independent Members are invited to make declarations.

24. IMPLEMENTATION

The Registers of Interests, and Gifts, Hospitality, Honoraria and Sponsorship will be maintained by the Corporate Governance Department. The Department will also be responsible for issuing periodic invitations to employees and Independent Members to declare interests, gifts, hospitality, honoraria and sponsorship.



In order to ensure that all employees and Independent Members are aware of their responsibilities in regard to declaring interests, and gifts, hospitality, honoraria and sponsorship, a number of communication methods will be utilised to raise awareness, including the use of the staff intranet, and e-mails to remind employees and Independent Members of the Standards of Behaviour Policy, and their responsibility to comply with it.

Executive Directors and Line Managers will need to be aware of their responsibilities for advising employees accountable to them of their responsibilities in connection with the policy.

25. PUBLICATION OF REGISTERS

The Registers of Interests and the Registers of Gifts, Hospitality, Honoraria and Sponsorship will be published on WHSSC internet site. An updated version will be added to the website quarterly. When making a declaration, employees and Independent Members are able to make representations that information on their interests or offers of gifts, hospitality, honoraria and sponsorship received, should not be published. This will allow for, in exceptional circumstances, an individual's name and/or other information to be redacted from any publically available registers where the public disclosure of information could give rise to a real risk of harm or is prohibited by law.

An interest will remain on the public register for a minimum of 6 months and no more than 12 months after the Committee Secretary has been informed that the interest has expired. A record of historic interests will be retained by WHSSC for a minimum of 6 years after the date on which it expired.

26. AUDIT AND MONITORING

The Committee Secretary is responsible for the monitoring of this policy and its formal review every three years.

The Committee Secretary will arrange for the Declarations of Interest Register and an overview of the gifts, hospitality, honoraria and sponsorship activities within WHSSC to be presented to the Audit Committee.



The Audit Committee will review and report to the Joint Committee upon the adequacy of the arrangements for declaring, registering and handling interests, gifts, hospitality, honoraria and sponsorship at least annually.

The Wales Audit Office and Internal Audit may also review the arrangements in place from time to time with their findings reported to the Audit Committee.

27. DISTRIBUTION

The Standards of Behaviour Policy will be made available via the WHSSC internet. Where employees do not have access to these sites, their line manager must ensure that they have access to a copy of this policy.

A reminder to all staff, together with a link to the policy will be circulated on an annual basis to inform staff of the need to declare any interests and report offers of gifts, hospitality, honoraria and sponsorship.

Managers also have a responsibility to bring this policy to the attention of their staff. New members of staff will be made aware of this policy as part of the corporate induction process

28. CONFIDENTIALITY

As set out in employee's job descriptions, all employees may have access to confidential information about patients, staff or health service business. On no account must such information be divulged to anyone who is not authorised to receive it. Confidentiality of information must be preserved at all times whether at or away from work. Any breach of such confidentiality is considered a serious disciplinary offence, which may be liable to dismissal and/or prosecution under current statutory legislation (The Data Protection Act/ General Data Protection Regulations (2016) or any subsequent legislation to the same effect) and CWM Taf Morgannwg's Disciplinary Policy. Any breach of confidentiality may lead to disciplinary action and may be regarded as gross misconduct justifying summary dismissal.



Where employees are unsure about the use or sharing of patient identifiable information, advice should be sought from the Committee Secretary.

29. SOURCES

- DGM (93)84: Standards of Business Conduct for NHS Staff;
- DGM(95)5: Detailed Guidance on Implementing a Code of Conduct and Accountability Finance Guidance Note F35: Guidance on Standards of Conduct for LHB Staff;
- Commercial Sponsorship-Ethical Standards for the NHS, Department of Health;
- Code of Conduct and Accountability, Welsh Assembly Government, 2003;
- WHC (2005) 016 The NHS & Sponsorship by the Pharmaceutical Industry;
- WHC(2006)090 The Codes of Conduct and Accountability for NHS Boards and the Code of Conduct for NHS Managers Directions 2006

30. REFERENCES

- WHSSC Standing Orders & Standing Financial Instructions
- Bribery Act 2010
- General Medical Council Good Medical Practice guidance – financial and commercial arrangements and conflicts of interest, 2013
- Nursing & Midwifery Council gifts and gratuities guidance , September 2013 and The Code: Standards of conduct, performance & ethics for nurses & midwives
- Association of British Pharmaceutical Industry (ABPI) Code of Practice for the Pharmaceutical Industry 2016
- Overpayments Protocol (National Wales Shared Service Partnership)
- All Wales Code of Conduct (Business) for NHS Staff
- Prevention of Fraud, Bribery and Corruption
- Commercial Sponsorship – Ethical Standard for the NHS

31. ACKNOWLEDGEMENTS:

This policy has been reviewed against the following Health Board/Trust policies across Wales:



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- Swansea Bay University Health Board - Standards of Business Conduct (to be reviewed November 2019)
- Aneurin Bevan University Health Board – Policy for Standards of Business Conduct (October 2015 – for review October 2018)
- Betsi Cadwaladr University Health Board - Standards of Business Conduct Policy (October 2016)
- Cardiff and Vale University Health Board - Standards of Behaviour Framework Policy (January 2015)
- Public Health Wales - Declarations of Interests, Gifts, Hospitality and Sponsorship Policy and Procedure (September 2017)
- Powys Teaching Health Board - Draft Standards of Behaviour Framework Policy (January 2018)
- Velindre University NHS Trust - Standards of Behaviour Framework Policy (December 2019)
- Welsh Ambulance Services NHS Trust – Gifts, Hospitality, Interests, Commercial Sponsorship and Fundraising Policy (September 2018)



APPENDIX 1 - STANDARDS OF BEHAVIOUR FRAMEWORK - SUMMARY

WHSSC has described those values that underpin the way that services are provided. To support this, all employees and Independent Members must ensure that they carry out their roles with dedication and commitment to WHSSC and its core values.

All employees and Independent Members must have the highest standards of corporate and personal conduct and behave in an exemplary manner based on the following seven principles:

1. **Selflessness** – Individuals should act solely in terms of the public interest. They should not do so in order to gain financial or other benefits for themselves, their family or friends;
2. **Integrity** – Individuals should not place themselves under any financial or other obligation to outside individuals or organisations that might seek to influence them in the performance of their official duties;
3. **Objectivity** – In carrying out public business, including making public appointments, awarding contracts, recommending individuals for rewards and benefits, choices should be made on merit;
4. **Accountability** – Individuals are accountable for their decisions and actions to the public and must submit themselves to whatever scrutiny is appropriate for their position;
5. **Openness** – Individuals should be as open as possible about all the decisions and actions they take. They should give reasons for their decisions and restrict information only when the wider public interest clearly demands it;
6. **Honesty** – Individuals have a duty to declare any private interests relating to their duties and to take steps to resolve any conflicts arising in a way that protects the public interest, and;
7. **Leadership** – Individuals should promote and support these principles by leadership and example.

To uphold these principles you must:

- Ensure that the interests of patients and the public remain paramount;
- Be impartial and honest in the conduct of your official business;
- Use NHS resources to the best advantage of the service and the patients, always seeking to ensure value for money;



- Not abuse your official position for personal gain or to benefit your family or friends;
- Not seek advantage or to further private business or other interests in the course of your official duties, and;
- Not seek or knowingly 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 the WHSSC.

The Standards of Behaviour Policy outlines the arrangements within WHSSC to ensure that staff comply with these requirements, including recording and declaring potential conflicts of interest and handling of gifts, hospitality, honoraria and sponsorship (even if these are declined).

It is your responsibility to ensure that you are familiar with the requirements of the policy and supporting guidance. The relevance of this information will vary depending on your role within WHSSC and your interests outside of your employment.

In summary:

DO:

- Make sure that you are not in a position where your private interests and NHS duties may conflict.
- Declare any relevant interests. These include:
 - a) Directorships, including Non-Executive Directorships held in private companies or PLCs.;
 - b) Ownership or part-ownership, of private companies, businesses or consultancies likely or possibly seeking to do business with WHSSC.
 - c) A position of authority in a charity or voluntary body in the field of health and social care;
 - d) A personal or departmental interest in any part of the pharmaceutical or healthcare associated industries that could be perceived as an influence on decision making or on the provision of advice to members of the team;
 - e) Sponsorship or funding from a known NHS supplier or associated company/subsidiary;
 - f) Employment where there could be a perceived or actual conflict with NHS duties. This includes the undertaking of private practice;
 - g) Anything else that could cause a potential for conflict.



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IF IN DOUBT DECLARE IT!

- Remember that the need to declare an interest also includes those of your close family and possibly friends.
- Seek your manager's permission before taking any outside work, in accordance with employment terms and conditions.
- Obtain your Executive Directors permission before accepting any commercial sponsorship or hospitality;
- Declare offers of gifts, hospitality or sponsorship using the appropriate form where required.

DO NOT:

- Accept any gifts from suppliers or commercial organisations unless they are of low value e.g. pens, diaries;
- Accept any gifts over the value of £25 from patients or their relatives, these should be politely declined;
- Accept any inappropriate hospitality or sponsorship from suppliers or commercial organisations;
- Abuse your position to obtain preferential rates for private deals;
- Unfairly advantage one competitor over another or show favoritism in your dealings with commercial organisations;
- Use NHS resources for your own private use.

If you need any further guidance please contact the Committee Secretary.



APPENDIX 2 – GIFTS, HOSPITALITY, HONORARIA AND SPONSORSHIP FORM

GIFTS, HOSPITALITY, HONORARIA AND SPONSORSHIP -DECLARATION FORM

It is a requirement that staff advise the Committee Secretary if they accept or are offered any gifts, hospitality or sponsorship in accordance with the Standards of Behaviour Framework Incorporating Declarations of Interest Gifts, Hospitality & Sponsorship Policy. Once approved by the Committee Secretary and/or Director the form should be forwarded to the Corporate Governance Team for inclusion in the Register of Gifts, Hospitality and Sponsorship.

Please Note: This form should be used to seek the approval to accept any gifts, hospitality or sponsorship PRIOR to acceptance.

Please Note: Tax Implications of Honoraria:

i) Honoraria received for work undertaken during WHSSC hours

When appropriate authorisation has been granted to permit an employee to be involved in activity outside their normal contract during WHSSC hours, any honoraria paid must be received back to WHSSC revenue budget to reimburse WHSSC for the employee's time.

To ensure good governance, the honoraria must be paid into a revenue budget that is not managed by the employee who has provided their services during WHSSC time.

To avoid personal tax implications, the WHSSC employee is urged to request the Honoraria is paid directly to WHSSC. This is then seen as reimbursement to WHSSC to cover the loss of employee time, and not honoraria. This money will then be transferred into WHSSC revenue budget. WHSSC employee who has undertaken the work must not be the budget holder for the budget receiving the funds in lieu of the honorarium due to a conflict of interest.

*If the employee receives the honoraria directly and then reimburses WHSSC, the employee **remains liable for the payment of both tax and NIC**, regardless of the final destination of the honoraria.*

ii) Honoraria received for work undertaken in an individual's own time (out of normal working hours or on authorised annual leave)

*Individuals are **personally liable for the payment of both tax and NICs** on any honoraria payments received.*



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| | | | |
|---|--|---|-------------|
| Full Name: | | Position: | Department: |
| Gift: <input type="checkbox"/> Hospitality: <input type="checkbox"/> Sponsorship: <input type="checkbox"/> Honorarium <input type="checkbox"/> | | Accepted: <input type="checkbox"/> Declined: <input type="checkbox"/> | |
| Event Details including location (if applicable): | | | |
| Start Date of Event: (If Applicable) | | End Date of Event: (If Applicable) | |
| Description: (Including course title, fees, travel, accommodation etc) | | | |
| Sponsor/Donor: (Name & address of organisation/company/individual) | | | |
| Exact/Approximate Value: | | | |
| Travel | £ | | |
| Accommodation | £ | | |
| Meals/Refreshments | £ | | |
| Conference/Registration Fees | £ | | |
| Other (please specify) | £ | | |
| Study Leave Required? Yes <input type="checkbox"/> No <input type="checkbox"/> | Has a Study Form Been Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> | | |
| Annual Leave Required? Yes <input type="checkbox"/> No <input type="checkbox"/> | | | |
| Signature of Applicant: | | Date: | |
| Approved by (Divisional Director/Executive Director): | | Date: | |
| Print Name : | | | |
| Signature: | | | |
| Recorded on Register of Gifts, Hospitality & Sponsorship: (Executive Offices) Print Name : | | Date: | |
| Signature: | | | |



APPENDIX 3 – DECLARATION OF INTEREST FORM

DECLARATION OF INTERESTS

I confirm that I have read and understood the WHSSC Standards of Behaviour Policy in relation to conflicts of interest. I declare that the information given on this form (for myself, my spouse or domestic partner, our children and any of our dependants) is correct and complete and that I will not create a conflict of interest between my appointments indicated below and an external organisation or personal business interests. In signing below, I understand that if I knowingly provide false information or fail to disclose relevant information, this may result in disciplinary action, prosecution or civil proceedings. I consent to the disclosure of information on this form and understand that it may be reviewed for the purposes of fraud prevention and detection by NHS counter-fraud specialists.

Note: In completing this declaration you need to consider and record (for 2020-21 and up to the date of your declaration):

- Any direct or indirect pecuniary interests;
- Any control or joint control over a reporting entity;
- Any significant influence over a reporting entity; or
- Any membership of key management.

For further guidance please contact the Committee Secretary or Corporate Governance Manager at WHSSC.

I agree to submit further declarations to update any information given here within 4 weeks of any change in my interests arising.

Name:

Designation:

Organisation:



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I am a member of the following Joint Committees/Joint Sub-Committees/Advisory Groups (tick all that apply):

| | | | | | |
|------------------------|--------------------------|--|--------------------------|---|--------------------------|
| WHSSC Joint Committee | <input type="checkbox"/> | Quality & Patient Safety Committee | <input type="checkbox"/> | All Wales Posture and Mobility Service | <input type="checkbox"/> |
| EASC Joint Committee | <input type="checkbox"/> | Welsh Renal Clinical Network | <input type="checkbox"/> | All Wales Gender Partnership Board | <input type="checkbox"/> |
| CTMUHB Audit Committee | <input type="checkbox"/> | All Wales Individual Patient Funding Panel | <input type="checkbox"/> | Adult Mental Health / Learning Disability Collaborative Commissioning Group | <input type="checkbox"/> |
| Integrated Governance | <input type="checkbox"/> | WHSSC Management Group | <input type="checkbox"/> | | |

| | | |
|---|--------------------------|--|
| SECTION A | Tick One | |
| I have no direct or indirect interests to declare | <input type="checkbox"/> | Signature: _____ Date: _____ |
| I have direct or indirect interests to declare | <input type="checkbox"/> | Please complete Section B (below) |

| SECTION B –DIRECT OR INDIRECT INTERESTS TO DECLARE | | |
|---|-------------------------------|-----------------------------|
| Nature of Interest(s) of myself as a director, officer or senior manager | Date Interest Acquired | Duration of Interest |
| | | |
| | | |
| | | |



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| Nature of Interest(s) of my spouse or domestic partner, our children and any of our dependants (please specify relationship) | Date Interest Acquired | Duration of Interest |
|--|------------------------|----------------------|
| | | |
| | | |
| | | |
| Remarks: (This section is to be used for any notes of clarification and to indicate when interests cease) | | |
| Signature: | Date: | |

Once completed should be signed and returned to Michaella Henderson, Corporate Governance Officer, WHSSC, Unit G1, The Willowford, Main Avenue, Treforest Industrial Estate, Pontypridd CF37 5YL or Michaella.Henderson@wales.nhs.uk



APPENDIX 4

Declaration Statement

Tax and National Insurance Contributions in respect of Honoraria

I confirm that I shall fulfil the Tax and National Insurance contributions responsibilities associated with receiving honoraria payments, as outlined in the Standards of Behaviour Framework Policy.

I understand that where honoraria is received for events undertaken in my own time (out of normal working hours or on authorised annual leave) I am **personally liable** for the payment of both Tax and National Insurance Contributions on any honoraria payments received and it is my responsibility to personally declare this income to the Inland Revenue.

Where an honorarium is received for events undertaken in work time and/or whilst on study leave I will advise the sponsor that the payments should be paid **direct** to WHSSC. These funds will then be reimbursed to the appropriate WHSSC revenue budget.

| | |
|--------------------|--|
| Print Name: | |
| Position: | |
| Signature: | |
| Date: | |