



North Central London  
Integrated Care Board

# North Central London Integrated Care Board

## Conflicts of Interest Policy

**North Central London Integrated Care Board  
Conflicts of Interest Policy - Control Sheet**

No	Title	Description
1.	<b>Summary</b>	This policy sets out the Integrated Care Board's Conflicts of Interest arrangements and management process.
2.	<b>Author</b>	Christopher Hanson, Governance and Risk Lead.
3.	<b>Accountable Director</b>	Ian Porter, Executive Director of Corporate Affairs.
4.	<b>Applies to</b>	All members of the Integrated Care Board and Committees of the ICB, employees, self-employed consultants, contractors, officers and office holders.
5.	<b>Groups/individuals who have overseen development of this policy</b>	Executive Director of Corporate Affairs; Head of Governance and Risk; Local Counter Fraud Specialist.
6.	<b>Groups which were consulted and have given approval</b>	
7.	<b>Equality Impact Analysis</b>	Policy reviewed for compliance throughout its development.
8.	<b>Ratifying committee and date of final approval</b>	This policy was approved by the Audit Committee on 26 <sup>th</sup> September 2022.
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10.	<b>Locations available</b>	The Integrated Care Board's website and staff intranet.
11.	<b>Related documents</b>	Integrated Care Board Constitution; Standards of Business Conduct Policy; Counter Fraud, Bribery and Corruption Policy; Disciplinary Policy; Speaking Up (Whistleblowing) Policy; Clinical Procurement Policy; Sponsorship and Joint Working With The Pharmaceutical Industry Policy; Standing Financial Instructions.
12.	<b>Disseminated to</b>	All staff.
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**Document Control**

Date	Version	Action	Amendment
26 <sup>th</sup> September 2022	1	Policy approved by the Audit Committee.	This Policy forms part of the Integrated Care Board's approach to conflicts of interest.

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# North Central London Integrated Care Board Conflicts of Interest Policy

## A. INTRODUCTION

### A1. Introduction

This document sets out the Conflicts of Interest Policy of North Central London Integrated Care Board ('ICB'). It provides guidance on the policy, processes and procedures for conflicts of interest.

The responsibility of the ICB Board of Members ('Board') includes the stewardship of significant public resources and the commissioning of health care services to the local population. Therefore, it is determined to ensure the ICB inspires confidence and trust amongst the Board, officers, office holders, staff, stakeholders, suppliers and the public.

The ICB will ensure it manages conflicts and potential conflicts of interest in such a way as to ensure that they do not, and do not appear to, affect the integrity of the ICB's decision making processes.

### A2. Equalities

This policy has been created and written in accordance with the provisions of the Equality Act 2010 ('EA 2010'). In addition, it supports the achievement of the aims of the EA 2010 and the Public Sector Equality Duty contained therein.

### A3. Fraud and Bribery

The ICB is required to maintain proportionate and adequate procedures to mitigate the risk of bribery, in accordance with the Bribery Act 2010. This includes the appropriate management of gifts, hospitality, sponsorship and interests and is applicable to all persons associated with the ICB, as outlined in this policy. This policy helps to reduce the risk of fraud and bribery by providing a robust system of conflicts of interest management. This policy supports and complements the ICB's Counter Fraud, Bribery and Corruption Policy and has been reviewed by the ICB's Local Counter Fraud Specialist.

### A4. Help and Support

For any support with this policy please contact the Governance and Risk Team (see Schedule 1). Schedule 1 does not form part of this policy and may be amended or updated as necessary without the need to formally approve this policy.

### A5. Scope

This policy applies to all:

- Members of the Board, including Partner Members;
- Members and Participants of the Board's Committees and Sub-Committees;
- Officers of the ICB;
- Clinical Directors of Place and Clinical Leads, both referred to in the policy as 'Clinical Leads'; and,
- ICB employees, self-employed consultants, contractors, sub-contractors, secondees, those working on ICB business whether paid or unpaid, volunteers and others involved/engaged in ICB commissioning activity.

'ICB employees' includes salaried employees (both full and part time, including those on fixed term contracts), students, trainees, agency staff, seconded staff, and those with honorary contracts, prospective staff and joint appointments.

For the avoidance of doubt, nominees from NHS providers, local authorities and general practice providers of primary medical service must act in accordance with this policy.

## B. AIMS AND PRINCIPLES

### B1. Policy Aims

The aims of this policy are to:

- Promote organisational success and help the ICB and wider Integrated Care System ('ICS') to achieve its objectives;
- Provide a structured approach for conflicts of interest management, particularly in the development and approval of the business cases and throughout the commissioning cycle;
- Protect the ICB, its decision-making, investments and stewardship of public funds from impropriety and/or accusations of impropriety;
- Support the ICB and the wider ICS to manage conflicts of interest effectively in line with English law and NHS England guidance;
- Have organisational grip of conflicts of interest, including gifts, hospitality and sponsorship;
- Empower staff to manage conflicts of interest effectively;
- Promote and support proactive conflicts of interest management;
- Provide clear guidance to staff;
- Have a consistent, visible and repeatable approach to conflicts of interest management;
- Support good governance and provide internal controls;
- Evidence the importance of conflicts of interest management to the ICB.

### B2. Aims of Conflicts of Interest Management

The ICB is committed to commissioning high quality, cost-efficient, sustainable and effective healthcare services for its population and meeting its organisational objectives. Further the ICB is committed to ensuring the integrity of its decision-making by preventing any perceived or actual undue bias, undue influence and/or wrongdoing.

To achieve this the ICB recognises and appreciates that it must have robust procedures and processes in place for the effective management of conflicts of interest and offers of gifts, hospitality and sponsorship, and to support an organisational culture that pro-actively and positively manages any conflicts and offers. Good conflicts of interest management is a tool that supports and empowers staff in this regard by enabling them to identify, assess and manage conflicts of interest in a way that is visible, consistent and makes best use of resources.

### B3. Proactive management

Effective conflicts of interest management is a tool that is used proactively and forms a key part of planning, as well as business as usual. The work is front loaded with the time staff invest in properly identifying, considering, assessing, and managing conflicts of interest paying dividends as work progresses, as problems are dealt with before they become issues.

### B4. Type of Interests

This policy applies to all interest which include but are not limited to:

Type	Definition
Financial Interests	Where an individual may financially benefit <sup>1</sup> from the consequences of a decision they are involved in making, such as a commissioning decision (for example, as a provider of services).
Non-financial Professional Interests	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	Where an individual may benefit personally, because of decisions they are involved in making in their professional

<sup>1</sup> This may be a financial gain, or avoidance of a loss.

	career, in ways which are not directly linked to their professional career and do not give rise to a direct financial benefit.
Indirect Interests	Where an individual has a close association <sup>2</sup> with an individual who has a financial interest, a non-financial professional interest or a non-financial personal interest in a decision (as described above).

**B5. Definition of ‘Conflict of Interest’**

A ‘conflict of interest’ is 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, where there is a material conflict between one or more interests, or potential, where there is the possibility of a material conflict between one or more interests in the future.

The perception of a conflict of interest, wrongdoing, impaired judgement or undue influence can be as detrimental as any of them actually occurring.

**B6. Definition of ‘Gift’, ‘Hospitality’, and ‘Sponsorship’**

A ‘gift’ is defined as “any item of cash or goods, or any service, which is provided for personal benefit, free of charge, or at less than its commercial value.”

Hospitality means offers of meals, refreshment, travel, accommodation, and other expenses in relation to attendance at meetings, conferences, education and training events etc.

Sponsorship can be defined as the provision or pledge of money or hospitality to help fund an event. This may include but is not limited to payment for a venue or food and/or drinks at a meeting where ICB business is conducted.

**B7. When can conflicts of interest arise?**

Conflicts of interest can arise in many situations and environments. This includes, but is not limited to, occasions where staff:

- Have outside employment;
- Hold a position of authority in another NHS organisation or commercial company, 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 the ICB does business with an organisation in which close family members and relatives, close friends and associates, and business partners have decision making responsibilities.

Conflicts of interest can also arise in the commissioning cycle. They can arise at any point throughout the whole commissioning cycle from needs assessment, to procurement exercises, to contract monitoring.

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<sup>2</sup> 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.

There is an increased need for the ICB to carefully manage conflicts of interest as individuals may find themselves in the position of either both commissioner and provider of services, or have responsibilities towards both commissioner and provider(s) of services.

If in doubt it is better to assume a conflict of interest exists and manage it, where necessary with the assistance of the Governance and Risk Team and/or a Board Secretary, rather than ignore it.

#### **B8. ICB conflicts of interest general approach**

The ICB's approach to conflicts of interest is governed by a matrix of legislation, regulation, guidance, and governance best practice. This is summarised in Schedule 2. Schedule 2 does not form part of this policy and may be amended or updated as necessary without the need to formally approve this policy.

The principle pieces of legislation the ICB must comply with when commissioning and decommissioning services are:

- National Health Service Act 2006;
- National Health Service (Procurement, Patient Choice and Competition) (No. 2) Regulations 2013; and,
- Public Contracts Regulations 2015.

In line with NHS England Statutory Guidance, the ICB will take a principles based approach to managing conflicts of interest. The ICB Constitution sets out the principles in accordance with which the ICB must act, and upon which this policy is based. The principles are:

- a) Decision making will be geared towards meeting the statutory duties of the ICB at all times including the triple aim;
- b) Any individual involved in decisions relating to ICB functions must be acting clearly in the interests of the ICB and of the public, rather than furthering any direct or indirect financial, personal, professional or organisational interests;
- c) ICBs have been created to give statutory NHS providers, local authorities and general practice providers of primary medical service nominees a role in decision making. These individuals will be expected to act in accordance with principles a) and b) above. Whilst it should not automatically be assumed that they are personally or professionally conflicted just by virtue of being an employee, director, partner or otherwise holding a position with one of these organisations the possibility of actual and perceived conflicts of interest arising will remain. For all decisions ICBs will need to carefully consider whether an individual's role in another organisation could result in actual or perceived conflicts of interest and whether or not that outweighs the value of the knowledge they bring to the decision making process;
- d) The personal and professional interests of all ICB Board Members, ICB committee members and ICB staff who are involved in decision making need to be declared, recorded and managed appropriately;
- e) Declarations of Interest must be made as soon as practicable after the person becomes aware of the conflict or potential conflict and, in any event, within 28 days of the person becoming aware. This includes being clear and specific about the nature of any interest and about the nature of any conflict that may arise regarding a particular decision and/or item under consideration;
- f) All Declarations of Interest will be recorded. If an interest is declared but there is no risk of a conflict arising then no further action need be taken. However, if a material interest is declared it should be considered to what extent this material interest affects the balance of the discussion and decision-making process. In doing so the ICB should ensure actual and potential conflicts of interest do not, and do not appear, to affect the integrity of the ICB's decision making processes;
- g) The ICB shall consider the composition of its decision-making forums and will clearly distinguish between those individuals who will a) be involved in formal decision making and b) those whose input informs decisions. The ICB shall consider the perspective individuals bring and the value they add to both items under discussion and decision making. This



- includes the ability to shape the ICB's understanding of how best to meet patients' needs and deliver care for the ICB's population;
- h) Actions to mitigate any conflicts of interest shall be proportionate and will seek to preserve the spirit of collective decision making wherever possible. Any mitigating actions shall take into account a range of factors which may include but is not limited to:
    - i. The perception of any conflicts of interest;
    - ii. How a decision may be received if an individual with an actual or a perceived conflict of interest is involved in making the decision;
    - iii. The risks and benefits of having a particular individual involved in making the decision;
  - i) Options in relation to mitigation may include, but is not limited to:
    - i. Including a conflicted person in the discussion but not in decision making;
    - ii. Excluding a conflicted person from both the discussion and the decision making;
    - iii. Including a conflicted person in the discussion and decision making where there is a clear benefit to them being included in both. Including a conflicted person in the actual decision making shall be done after careful consideration of the risks and with proper mitigations in place. The rationale for inclusion shall also be properly documented and included in minutes;
    - iv. Excluding a conflicted individual and securing technical or local expertise from an alternative, unconflicted source;
  - j) The way conflicts of interest are declared and managed shall contribute to a culture of transparency about how decisions are made. The minutes or record of meetings shall include declarations of any actual or perceived conflicts of interest, how the conflict of interest shall be mitigated together with the rationale and how the conflict of interest was managed;
  - k) Conflicts of interest shall be managed in accordance with NHS England guidance including for the provider selection regime and for joint working and delegation arrangements. For the provider selection regime this includes the situation where decisions are being taken as part of a formal competitive procurement of services with any individual who is associated with an organisation that has a vested interest in the procurement recusing themselves from the process.

## **B9. Approval of Business Cases for Services and Procurement**

NHS Integrated Care Boards were established on 1<sup>st</sup> July 2022 and were created to give statutory NHS providers, local authorities and general practice providers of primary medical service nominees a role in decision making. However, the accompanying NHS Provider Selection Regime which supports this approach has not yet been introduced. It is expected in Financial Year 2022-23. This policy will be updated once the new NHS Provider Selection Regime is in force.

In the meantime the NHS is required to work within the procurement regime that applied to Clinical Commissioning Groups. This requires:

- The ICB to act in a transparent and proportionate way; and
- To treat providers equally and in a non-discriminatory way, including by not treating a provider, or type of provider, more favourably than any other provider, in particular on the basis of ownership.

This requires:

- A clear separation between commissioners and providers a) in the approval of business cases, b) the approval and oversight of procurements, and c) when procuring;
- Conflicts of interest to be managed robustly throughout the commissioning cycle and for no organisation to be treated more favourably than another.

Therefore, when the ICB is developing business cases for services, approving business cases and procuring services it will a) manage conflicts of interest robustly and ensure that there is an appropriate and non-conflicted relationship between the ICB and any conflicted or potentially conflicted provider organisations. However, the ICB will do so whilst working in as far as possible within the spirit of the principles contained in B8 above.

To support this approach the ICB may take any such action as it deems necessary which may include (but is not limited to):

- Recognising that not all business cases will require the same approach to the management of conflicts of interest and ensuring that an appropriate approach is taken;
- Presenting business cases to forums with information which may cause an actual or potential conflict of interest for that specific audience removed and/or otherwise limiting access to information which may provide an undue competitive advantage;
- Remitting decisions on business cases and procurements to the Procurement Oversight Group or to other non-conflicted forums or individuals;
- Excluding conflicted individuals from discussions and/or decision making as appropriate;
- Ensuring for the development of business cases both the Clinical Lead and the lead manager are non-conflicted;
- That appropriate checks and balances are in place to manage conflicts of interest- particularly for complex and system wide services;
- Putting measures into place to ensure providers are treated equally and in a non-discriminatory way including measures to effectively mitigate any undue competitive advantage;
- Ensuring the approach the ICB has taken to managing conflicts of interest is properly documented in accordance with the provisions in this policy;
- Seeking support and guidance from the ICB's Governance and Risk Team and Procurement Team.

The Procurement Team should ensure that they maintain records that show a clear audit trail of how conflicts of interest have been identified and managed as part of business case and procurement processes, including the obtaining of declarations of interest from all individuals supporting any individual procurement.

#### **B10. ICB conflicts of interest approach to the commissioning cycle and meetings**

The ICB will consider the composition of decision-making forums and clearly distinguish between those individuals who should be involved in formal decision taking, and those whose input informs decisions.

In particular, the ICB will consider the perspective the individual brings and the value they add to both discussions around particular decisions and in taking part in the decision including the ability to shape the ICB's understanding of how best deliver care for their populations. The way conflicts of interest are managed should reflect this distinction.

For ease of reference please see paragraph C2 of this policy for management of declarations of interest. See paragraph B9 and C5 of this policy for management actions in relation to the commissioning cycle. See paragraph C6 of this policy for management of conflicts of interest within a meeting, including minuting requirements. However and regardless of references to these paragraphs, all relevant provisions in this policy apply.

#### **B11. Openness, Honesty, Transparency and Continued Learning**

Conflicts of interest at the ICB will be managed in an open, honest and transparent way within a culture that supports and encourages this approach.

#### **B12. Training**

The ICB aims to manage conflicts of interest effectively and create an open and transparent in order to do so. To achieve this all staff will be provided with appropriate training.

It is the responsibility of all staff and their line managers to ensure they are available for and receive conflicts of interest training.

All staff are able to request additional conflicts of interest training if they feel it will help support them in their role or are interested in developing their skills further. All requests should be made to the Governance and Risk Team.

## C. CONFLICT OF INTEREST MANAGEMENT AND PROCESS

### C1. Making a declaration of interest

All individuals referred to in paragraph A5 of this policy (Scope) must complete a declaration of interest using the template in Schedule 3, and provide the same to the board secretary. Schedule 3 does not form part of this policy and may be amended or updated as necessary without the need to formally approve this policy.

When to make a declaration:

Trigger	Explanation
On appointment, or engagement	<p>Applicants for any appointment to, or engagement by, the ICB should be asked to declare any relevant interests as part of the nomination/recruitment process.</p> <p>When an appointment is made, or when an individual is engaged by the ICB, a formal declaration of interests should be made.</p> <p>Appointments or engagements should not be made if the declared interests are such that they could not be managed under this policy, and consequently the applicant would be unable to make a full and proper contribution to the ICB and its decision-making.</p>
At meetings	<p>Attendees should be asked, under a standing item on the agenda of the meeting, to declare any interest they have in any agenda item before it is discussed or as soon as it becomes apparent.</p> <p>Declarations of interest made should be recorded in the minutes of the meeting.</p> <p>Where an individual is unable to provide a declaration in writing, e.g. if a conflict becomes apparent in the course of a meeting, they will make an oral declaration before witnesses, which will be recorded in the minutes of the meeting, and complete a written declaration form as soon as possible thereafter but no later than 28 days.</p>
On changing role or responsibility	<p>Where an individual changes role or responsibility within the ICB, any change to the individual's interests should be declared immediately.</p>
On change of circumstance	<p>Wherever an individual's circumstances change in a way that affects the individual's interests, a further declaration should be made to reflect the change in circumstances. This could involve a conflict of interest ceasing to exist or a new one materialising.</p> <p>Declarations must be made within 28 days of identification of the change or identification of the conflict.</p>
When prompted by the ICB, annually	<p>The ICB will renew its registers of interests annually. The ICB requires all staff to complete a declaration of interest form annually.</p> <p>Where there is no declaration to be made, a nil return will be required.</p>

	Declarations of interest must be made promptly in order to support this renewal. There is a process of reminders and escalation to ensure that all staff comply with this requirement.
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Where the ICB is participating in a joint committee, or other governance arrangement with any other ICB:

- Any interests should be recorded on the register(s) of interest of each participating ICB; and
- Any offer, acceptance or refusal of gifts, hospitality or sponsorship should be recorded on the register of gifts, hospitality, and sponsorship of each participating ICB.

All declarations must be reviewed by the declarant’s line manager, with consideration given to any appropriate mitigations (see section C2 below). The Governance and Risk Team may undertake conflict of interest reviews from time to time. In the event that the Governance and Risk Team’s assessment is different from the declarant’s line manager the view of the Governance and Risk Team shall prevail.

For further guidance on declaring interests, see the declaration of interest form. In addition, see Schedule 4 for guidance on specific interests. Schedule 4 does not form part of this policy and may be amended or updated as necessary without the need to formally approve this policy.

**C2. Management of declared interests**

Declared interests must be managed by means of one or more of the following options, which are to be recorded in the Declaration:

- Take no further action;
- Ensure appropriate mitigations in place to enable Declarant to continue in their role;
- Restrict the declarant’s access to key papers/documents and/or involvement in discussions and/or decision making;
- Remove the declarant from decision making where appropriate;
- Remove the declarant’s responsibility for an area of work;
- Remove the declarant from their role altogether if the conflict is so significant that they are unable to operate effectively in their role.

Where a voting member is conflicted with regards to one or more agenda item in the course of a meeting, and their conflict of interest cannot be appropriately mitigated in accordance with the principles set out in B8 above, they will not count towards the quorum for that item of business. If this renders a meeting or part of a meeting inquorate a non-conflicted person may be temporarily appointed or co-opted onto the Committee to satisfy the quorum requirements. This may also be used reduce the weighting of the conflicted individual’s vote, if they are permitted to vote at all.

The ICB will work with Integrated Care System partners as closely and as integrated as the law provides. For a summary of the currently legislative framework see Schedule 1 of this policy.

**C3. Making a declaration of a gift, hospitality, or sponsorship**

Gifts, hospitality, and sponsorship, whether accepted or declined, may need to be declared depending on the specific circumstances. The necessary management steps in relation to such offers is set out below.

Staff should also note that in some circumstances an offer of gifts or hospitality may constitute a bribe. Therefore, offers should be carefully considered in order to protect individuals and the ICB from criminal prosecution.

Nature of gift	Management action
Any gift that may affect, or be seen to affect, the recipient’s professional judgement, that	Gift to be declined and a Declaration of gifts, hospitality, and sponsorship be submitted.

is not otherwise permitted under the Conflicts of Interest Policy	
Personal gift of cash or cash equivalent (e.g. vouchers).	Gift to be declined and a Declaration of gifts, hospitality, and sponsorship be submitted.
Gifts from suppliers or contractors doing business, or likely to do business with the ICB, with the exception of low cost branded promotional items (as detailed below).	Gift to be declined and a Declaration of gifts, hospitality, and sponsorship be submitted.
Low cost branded promotional items from suppliers or contractors doing business, or likely to do business with the ICB, valued £6 <sup>3</sup> or less.	Gift may be accepted and need not be declared.
Gifts valued £50 or under, from sources other than suppliers or contractors doing business, or likely to do business with the ICB.	Gift may be accepted and need not be declared.
Gifts valued in excess of £50, from sources other than suppliers or contractors doing business, or likely to do business with the ICB.	Gift may only be accepted on behalf of the ICB, and not in a personal capacity, and a Declaration of gifts, hospitality, and sponsorship be submitted.
Donations from suppliers or contractors doing business, or likely to do business with the ICB.	Donation to be declined and a Declaration of gifts, hospitality, and sponsorship be submitted.  Directors can authorise the acceptance of such donations in exceptional circumstances. The reason for the acceptance must be recorded. In the Declaration.
Multiple gifts received from the same source over a 12 month period, where the cumulative value of the gifts exceeds £50.	Gifts may only be accepted on behalf of the ICB, and a Declaration of gifts, hospitality, and sponsorship be submitted.

Nature of hospitality	Management action
Any hospitality that may affect, or be seen to affect, the recipient's professional judgement, that is not otherwise permitted under the Conflicts of Interest Policy	Hospitality to be declined and a Declaration of gifts, hospitality, and sponsorship be submitted.
Valued under £25.	Hospitality may be accepted and need not be declared.
Valued between £25 and £75 <sup>4</sup> (inclusive).	Hospitality may be accepted and a Declaration of gifts, hospitality, and sponsorship be submitted, whether accepted or declined.
Valued in excess of £75.	Hospitality to be declined and a Declaration of gifts, hospitality, and sponsorship be submitted.  Directors can authorise the acceptance of such hospitality in exceptional circumstances. The reason for the

<sup>3</sup> The £6 value has been selected with reference to existing industry guidance issued by the ABPI: <http://www.pmcpa.org.uk/thecode/Pages/default.aspx>

<sup>4</sup> The £75 value has been selected with reference to existing industry guidance issued by the ABPI <http://www.pmcpa.org.uk/thecode/Pages/default.aspx>

	acceptance must be recorded. In the Declaration.
Hospitality offered by actual or potential suppliers or contractors, where it is reasonable and proportionate.	Hospitality may be accepted and a Declaration of gifts, hospitality, and sponsorship be submitted, where authorised by a Director.  The reason for the acceptance must be recorded. In the Declaration.
Hospitality offered by actual or potential suppliers or contractors in the following circumstances: <ul style="list-style-type: none"> <li>• During a related tendering exercise;</li> <li>• Where a related contract is due to come to an end;</li> <li>• Where the performance of a contract is in question;</li> <li>• ‘Linked sponsorship arrangements’ where external sponsorship is linked to the ICB procurement of goods and services; and</li> <li>• Other circumstances where acceptance might compromise the staff member or ICB.</li> </ul>	Hospitality to be declined and a Declaration of gifts, hospitality, and sponsorship be submitted.
Modest travel and accommodation costs, related to attendance at events.	Hospitality may be accepted and a Declaration of gifts, hospitality, and sponsorship be submitted.
Travel and accommodation costs, beyond modest or of a type the ICB would not usually offer.	Hospitality to be declined and a Declaration of gifts, hospitality, and sponsorship be submitted.  Head of Governance and Risk can authorise the acceptance of such hospitality in exceptional circumstances. The reason for the acceptance must be recorded. In the Declaration.

Staff should not ask for any gifts or hospitality.

A common sense approach should be applied to the valuing of gifts and hospitality (an estimate that a reasonable person would make as to its value, if the actual value is not known).

For the avoidance of doubt, and to prevent double payment, any payment that is received for speaking at conferences etc. (sometimes referred to as an Honorarium) in ICB time is to be surrendered to the ICB for disposal at its discretion or paid to a nominated charity upon the agreement of the Governance and Risk Team.

Nature of sponsorship	Management action
Any sponsorship received by staff, or offer, whether accepted or declined.	A Declaration of gifts, hospitality, and sponsorship and a Declaration of an Interest must be submitted.  It should be made clear that sponsorship does not equate to endorsement of a company or its products and this should be

	made clearly visible on any promotional or other materials.
Sponsorship of ICB events.	<p>A Director can authorise the acceptance of the sponsorship if there is a clear benefit for the ICB. The reason for the acceptance must be recorded.</p> <p>The ICB must prevent any data breaches arising from the event.</p> <p>The ICB must ensure no commercial advantage is given to the sponsor.</p>
Sponsorship of research.	<p>A Director can authorise the acceptance of the sponsorship if there is a clear benefit for the ICB. The reason for the acceptance must be recorded</p> <p>The proposed research must go through the relevant health research authority or other approvals process.</p> <p>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.</p>
Sponsorship of posts	<p>Directors can authorise the acceptance of such sponsorship. The reason for the acceptance must be recorded.</p> <p>Written confirmation that the arrangements will have no effect on purchasing decisions or prescribing and dispensing habits are required. The Agreement should detail the circumstances under which organisations have the ability to exit sponsorship arrangements if conflicts of interest which cannot be managed arise.</p> <p>Rolling sponsorship of posts should be avoided unless appropriate checkpoints are put in place.</p>
Sponsorship of ICB events by pharmaceutical companies.	See specialist guidance in the Sponsorship and Joint Working With The Pharmaceutical Industry Policy.

A declaration of a gift, hospitality, or sponsorship should be made using the template in Schedule 5, and provide the same to the Board Secretary. Schedule 5 does not form part of this policy and may be amended or updated as necessary without the need to formally approve this policy.

All declarations must be approved by the declarant's line manager or Director as necessary, before receipt, or as soon as is feasible. The Governance and Risk Team may undertake conflict of interest reviews from time to time. In the event that the Governance and Risk Team's assessment is different

from the declarant and/or the declarant's line manager the view of the Governance and Risk Team shall prevail.

In January 2019 the Association of British Pharmaceutical Industry (ABPI) published guidelines relating to Inducements and Inappropriate payments, and the provision of items for patients, Health Professionals and other relevant Decision Makers.<sup>5</sup> When working with the Pharmaceutical Industry, and receiving any transfer of value or benefit in kind, you must give consent for this to be declared on the ABPI Disclosure UK database. Failure to do so will be considered as a breach of this policy and may result in disciplinary action. As part of the ICB's annual counter fraud review into Conflicts of Interest, the ABPI data will be reviewed. The granting of consent for disclosure does not negate the requirement to declare these payments to the ICB in accordance with this policy.

#### **C4. Fundraising**

Staff must obtain permission from the ICB if in their ICB role, or in any event where there may be a negative impact on the management of Conflicts of Interest, they intend to undertake fundraising activities on behalf of a pre-approved charitable campaign for a charity other than the ICB'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.

#### **C5. Conflicts of interest management during the commissioning cycle**

The ICB must manage conflicts or potential conflicts of interest that may arise in relation to procurement and throughout the commissioning cycle.

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

Anyone participating in the procurement, or otherwise engaging with the ICB, in relation to the provision of services or facilities, will be required to make a declaration of interest. This includes those who will take part in any tender evaluation or decision making with regards to the award of a contract. Records must 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.

The ICB will consider the following points when engaging with potential service providers:

- Use engagement to help shape the requirement but take care not to gear the requirement in favour of any particular provider(s);
- Ensure at all stages that potential providers are aware of how the service will be commissioned, e.g. through competitive procurement or through the 'Any qualified provider' process;
- Work with participants on an equal basis, e.g. ensure openness of access to employees and information;
- Be transparent about procedures; and
- Maintain commercial confidentiality of information received from providers.

The ICB will, as far as possible, specify the outcomes to be delivered through a new service, rather than the way in which these outcomes are to be achieved.

Practical steps to manage conflicts of interest may include:

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<sup>5</sup> <http://www.pmcpa.org.uk/thecode/Pages/Download-the-Code.aspx>



- Identifying and discussing any actual or potential Conflicts of Interest at all stages of the commissioning cycle, including but not limited to the production of procurement specifications, bid scoring, and decision-making meetings;
- Conflicts of Interest as a standing item at all procurement and or contract meetings;
- Advertising the fact that a service design/re-design exercise is taking place widely (e.g. on Contracts Finder) and inviting comments from any potential providers and other interested parties (ensuring a record is kept of all interactions);
- As the service design develops, engaging with a wide range of providers on an ongoing basis to seek comments on the proposed design, e.g. via the ICB's website or workshops with interested parties;
- If appropriate, engaging the advice of an independent clinical adviser on the design of the service.

## **C6. Conflicts of interest management during meetings**

The ICB Chair will appoint or approve appointments to ICB committees and sub-committees. The ICB Chair must not agree such appointments where they consider that the appointment could reasonably be regarded as undermining the independence of the health service because of the candidate's involvement with the private healthcare sector or otherwise.

The meeting chair should, with the support of the secretariat, Governance and Risk Team, and if necessary the Conflicts of Interest Guardian, proactively manage conflicts of interest in relation to the meeting's business.

The meeting chair should ensure the declarations of interest, declarations of interest in relation to agenda items, and declarations of gifts, hospitality, and sponsorship are standing items on the meeting's agenda. The Board, Committee, Sub-Committee, Group's register of interests must be included in the circulated papers.

The meeting chair will determine how any conflict of interest will be managed. The meeting secretariat will record in the minutes:

- Individual declaring the interest;
- At what point the interest was declared;
- The nature of the interest;
- The chair's decision and resulting action taken;
- The point during the meeting at which any individuals retired from and returned to the meeting - even if an interest has not been declared;

Where the meeting chair has a conflict of interest, they must make a declaration and the deputy chair/vice-chair will act as chair for the relevant part of the meeting. If both are conflicted the voting members who are not conflicted, provided the meeting then remains quorate, shall decide and agree how to manage the conflict(s) upon the advice of the Board Secretary and/or the Governance and Risk Team and, where necessary, in consultation with the Conflicts of Interests Guardian.

Where the meeting is not quorate, discussions may take place but any decisions will be deferred until such time as a quorum can be convened. Where a quorum cannot be convened from the membership of the meeting the chair may adjourn the meeting to permit the co-option of additional members. Where this is not possible the matter shall be referred to an appropriate grouping within the decision-making ICB structure.

## **D. KEY ROLES**

### **D1. Board and Committees**

The Board of Members will:

- Support the development and maintenance of a culture of openness, transparency, and proactivity in regards to conflicts of interest reporting and management;

- Set the strategic direction for conflicts of interest management;
- Ensure the ICB's Conflicts of Interest Policy is being adhered to.

The Audit Committee will:

- Provide independent assurance to the ICB Board on the effectiveness of the conflicts of interest management process and compliance with this policy;
- Receive independent reports on the effectiveness of the conflicts of interest management;
- Challenge the way in which conflicts of interest is managed where there is uncertainty or concerns over the effectiveness management arrangements;
- Formally assess on an annual basis the overall effectiveness of the conflicts of interest management processes in the ICB and report to the ICB Board;
- Review the conflicts of interest management arrangements for the purposes of the Annual Report and the Annual Governance Statement;
- Annually review this policy, and more frequently subject to new or amended pertinent legislation/guidance published and/or evolution in best practice;
- Horizon scan and communicate findings for action.

All Committees will:

- Ensure that agendas setting complies with the terms of this policy by including standing items for declarations of interest as well as gifts, hospitality, sponsorship;
- Ensure conflicts of interest are declared and managed in accordance with the provisions of this policy.

## **D2. Chief Executive and Executive Management Team**

The Chief Executive has overall accountability for the ICB's approach to managing conflicts of interest and gifts, hospitality and sponsorship.

The Executive Management Team will:

- Have day to day responsibility for the ICB's management of conflicts of interest and gifts, hospitality and sponsorship;
- Ensure that appropriate administrative processes are put in place; and
- Ensure that appropriate governance arrangements are in place, particularly where the ICB is working in collaboration with others (e.g. within and without the Integrated Care System);
- Support the Conflicts of Interest Guardian to enable them to carry out the role effectively.
- Provide feedback on the conflicts of interest management processes and policy to the Governance and Risk Team;
- Be held to account by the Chief Executive and Chief Finance Officer for effective conflicts of interest management.

## **D3. Non-Executive Member with responsibility for Audit, and Conflict of Interest Guardian**

The Non-Executive member with responsibility for Audit will be the ICB's Conflicts of Interest Guardian and Audit Committee Chair, in accordance with clause 33.6 of the ICB's Constitution. They have a lead role in conflicts of interest management and ensuring that the ICB Board and the wider ICB behaves with the utmost probity at all times.

Non-Executive member with responsibility for Audit will:

- Ensure an audit of management of conflicts of interest and gifts, hospitality and sponsorship is undertaken annually as part of the internal audit programme;
- Be consulted where necessary on the management of conflicts where the Chair and Vice-Chair of a meeting at which ICB business is conducted are conflicted;
- Champion conflicts of interest best practice at Board level.

In their capacity as Conflict of Interest Guardian, and as provided by Standing Order 30, they will:

- Act as a conduit for members of the public, healthcare professionals and wider Integrated Care System partners who have any concerns with regards to conflicts of interest;

- Be a safe point of contact for employees or workers of the ICB to raise any concerns in relation to conflicts of interest;
- Support the rigorous application of conflict of interest principles and policies;
- Provide independent advice and judgment to staff and ICB Board members where there is any doubt about how to apply conflicts of interest policies and principles in an individual situation;
- Provide advice on minimising the risks of conflicts of interest.

#### **D4. Chairs of ICB meetings**

The Chair of an ICB committee, sub-committee or other meeting will:

- Ensure the management of the meeting is conducted in accordance with this policy, and in line with the declaration of interest checklist. This checklist is at Schedule 6. Schedule 6 does not form part of this policy and may be amended or updated as necessary without the need to formally approve this policy;
- Identify as far as possible in advance of meetings where a conflict of interests may arise;
- Ensure interests are declared at the start of a meeting, and any declared interests are recorded in the minutes of the meeting;
- Ensure there are arrangements for the management of the meeting's business in the event the Chair has a conflict of interests;
- Ensuring that where members of a meeting have conflicts of interests the meeting remains quorate and if not to follow the processes set out in this policy, in the meeting's terms of reference, and in the ICB's Constitution.

#### **D5. Meeting Secretariat**

The Secretariat for the meeting will:

- Ensure the management of the meeting is conducted in accordance with this policy, and in line with the declaration of interest checklist (Schedule 6);
- Ensure declared conflicts of interest are recorded accurately in the minutes;
- Support transparency in the ICB's decision making processes through robust record keeping.

#### **D6. Commissioning/Procurement Leads**

The Chief Finance Officer, as Senior Responsible Officer for Procurement, and any staff leading on any relevant procurements will:

- Ensure service re-design and procurement processes reflect the procedures set out in this policy;
- Ensure that bidders, contractors and direct service providers adhere to this policy;
- Ensure there are arrangements for the identification and management of conflicts of interest and offers of gifts, hospitality and sponsorship throughout the commissioning cycle;
- Ensure that conflicts of interest are managed robustly throughout the commissioning cycle.

#### **D7. Managers and Staff**

The ICB's managers and staff will:

- Work within this policy;
- Use public funds entrusted to them appropriately;
- Ensure the teams and staff under their control manage conflicts of interest effectively and follow this policy;
- Ensure they and their teams receive conflicts of interest management training;
- Be transparent and declare any interests in a timely way in accordance with the provisions of this policy;
- Work with the Governance and Risk Team to ensure the smooth operation of the conflicts of interest management system.

#### **D8. Governance and Risk Team**

The Governance and Risk Team provides:

- Central oversight of the conflicts of interest management process and system in the ICB and this policy;
- Annual training for all individuals in scope of this policy in relation to conflicts of interest management;
- Support to the Conflicts of Interest Guardian, including briefing them on conflicts of interests, gifts, hospitality and sponsorship matters and issues arising;
- Expertise, and is responsible for the drafting and amending of this policy;
- Assurance that breaches of this policy are managed appropriately.

#### **D9. Board Secretaries**

The Board Secretary will:

- Ensure that the register required by this policy are reviewed regularly, updated and published as necessary;
- Support the proper management of conflicts of interest at meeting and provide advice and guidance to meeting chairs in this regard;
- Ensure that declared interests have identified management arrangements in place;
- Ensure that the ICB makes its self-certification return to NHS England on the management of conflicts of interest and gifts, hospitality and sponsorship as required e.g. quarterly reporting for self-certification purposes, and that this includes an explanation for any non-compliance with NHS England's guidance on the management of conflicts of interests.

#### **D10. Local Counter Fraud Specialist ('LCFS')**

The LCFS is responsible for taking forward all anti-fraud work locally in accordance with the national NHS Counter Fraud Authority requirement to comply with the Government Functional Standard for Counter Fraud. Adherence to these requirements is important in ensuring that the organisation has appropriate counter fraud, bribery and corruption arrangements in place.

The LCFS will:

- Represent the ICB when dealing with matters relating to fraud, bribery and corruption, with work being carried out in line with NHS Counter Fraud Authority guidance;
- Investigate all reports of potential or actual fraud, bribery and corruption;
- Report directly to the Chief Finance Officer;
- Work with key colleagues and stakeholders to promote anti-fraud work and effectively respond to system weaknesses and investigate allegations of fraud and corruption. This will include the undertaking of risk assessments to identify fraud, bribery and corruption risks at the ICB. .

The LCFS' contact details can be found in Schedule 1 of this policy, on the counter fraud and bribery intranet pages or in the Counter Fraud, Bribery and Corruption Policy.

## **E REGISTERS AND CONFLICT OF INTEREST MANAGEMENT OVERSIGHT**

#### **E1. Registers of Interests, and of Gifts, Hospitality and Sponsorship**

The ICB will maintain the following registers of interests:

- Members of the ICB;
- Members of the Board's Committees and Sub-Committees;
- Officers of the ICB;
- Clinical Leads; and,
- ICB employees, Contractors, and others involved/engaged in ICB commissioning activity.

The ICB will maintain a register of gifts, hospitality and sponsorship.

The ICB will use templates in Schedule 7 and 8, respectively for these registers. 7 and 8 do not form part of this policy and may be amended or updated as necessary without the need to formally approve this policy.

Registers will be populated with information from completed Declarations of Interest, or Declarations of gifts, hospitality, and sponsorship, and include sufficient information about the nature and holder or recipient of the interest or gifts, hospitality and sponsorship, as well as details of deliberations and subsequent decisions about conflicts of interest management.

Registers will be maintained for each financial year and will be circulated to the Audit Committee at least once a year.

## **E2. Publication of Registers**

The registers listed above will be published annually on the ICB's website, as well as being made available at the ICB's headquarters. They will be included in the ICB's Annual Report and Annual Governance Statement.

Interests, gifts, hospitality and sponsorships shall remain on the respective public register for a minimum of 6 months after the expiration of the interest. The ICB will retain a private record of historic interests for a minimum of 6 years after expiration. Prior to the publication of the Registers, Fair Processing Notices should be provided to the subject individual.

Only the minimum necessary information about an individual will be included on the registers. However, further information may be requested by anyone under the provisions of the Freedom of Information Act and each such request will be considered on its own merits in line with the ICB's Freedom of Information Policy.

Requests for redaction of the published registers must be made in writing by the subject individual to the ICB's Conflicts of Interest Guardian, but sent to the Governance and Risk Team. 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.

Interests, gifts, hospitality and sponsorship registers will be made available to the procurement team to ensure that all conflicts are identified and can be appropriately managed,

## **E3. Register of Procurement Decisions**

The ICB will maintain and publish a register of procurement decisions. The register will include;

- A contract reference, Contract/Service title, and details as to whether the contract is new or an extension of an existing Contract/service;
- Procurement description;
- Procurement type;
- Clinical Lead and Contract Manager names;
- Details of decision made and who was involved in the decision making process (i.e. ICB Board or Committee members and others with decision-making responsibility);
- A summary of any conflicts of interest in relation to the decision and how this was managed; and
- Contract value to ICB and Contract start and finish date.

The register will be published on the ICB's website, updated quarterly, as well as being made available at the ICB's headquarters. It will be included in the ICB's Annual Report and Annual Governance Statement.

The register will be updated whenever a procurement decision (including the decision to use a single tender action) is made, and scrutinised by the Procurement Oversight Group quarterly. To the extent that it is required by legislation or guidance, the ICB will record procurement decisions in the negative.

The ICB will use template in Schedule 9 for the register. Schedule 9 does not form part of this policy and may be amended or updated as necessary without the need to formally approve this policy.

## **F. BREACHES OF THE CONFLICTS OF INTEREST POLICY**

### **F1. Identifying and raising concerns**

Full compliance with the requirements of this policy is expected of all individuals in scope of the policy in order to demonstrate the ICB's commitment to openness and transparency.

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.

Concerns regarding a suspected breach of, or non-compliance with, this policy should be referred to the Governance and Risk Team in the first instance, as soon as is reasonably possible. Any suspicion of fraud relating to a breach of this policy should be reported to the Local Counter Fraud Specialists for investigation.

The Head of Governance will investigate and determine whether a breach has occurred and/or identify and implement a resolution. The Head of Governance may escalate the matter to the responsible director and the Conflicts of Interest Guardian for further investigation. The Head of Governance will assess whether it is necessary to report the breach further, internally or externally.

If a breach is identified and it is not possible to implement a resolution, the Head of Governance and Risk will complete a Conflict of interest policy form, and record it on the Conflicts of interest breach register. Anonymised details of breaches will be published on the ICB's website for the purpose of learning and development. If the breach is material NHS England is to be notified using the normal reporting mechanisms, and reported to the ICB Audit Committee. The flowchart at Schedule 10 sets out the process of managing breaches of this policy. Schedule 10 does not form part of this policy and may be amended or updated as necessary without the need to formally approve this policy.

Schedule 11 is the form template and 12 is the register. Schedule 11 and 12 do not form part of this policy and may be amended or updated as necessary without the need to formally approve this policy.

### **F2. Taking action in response to breaches**

Action taken in response to breaches of this policy will be in accordance with the ICB's disciplinary procedures 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 the ICB's auditors.

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

- Clarification or strengthening of existing policy, process and procedures;
- Legal action and/or informal or formal disciplinary action taken against staff or others. This includes dismissal and termination of contract;
- Escalation to external parties. This might include referral of matters to external auditors, the NHS Counter Fraud Authority, the Police, statutory health bodies (such as NHS England, NHS Improvement or the CQC), and/or health professional regulatory bodies.

### **F3. Breaches and Fraud**

The Fraud Act 2006 defines a number of offences including:

- Fraud by false representation;
- Fraud by failing to disclose information and;
- Fraud by abuse of position.

The offender's conduct must have been dishonest and their intention was to make a gain, or cause a loss (or the risk of a loss) to another. Fraud carries a maximum sentence of 10 years imprisonment

and /or a fine if convicted in the Crown Court or 6 months imprisonment and/or a fine in the Magistrates' Court.

Therefore, if an individual becomes aware of any financial or other irregularities or impropriety which involve evidence or suspicion of fraud, bribery or corruption they should contact the Local Counter Fraud Specialists in accordance with the Counter Fraud, Bribery and Corruption Policy with a view to an appropriate investigation being conducted and potential prosecution being sought. Local Counter Fraud Specialists' contact details are set out in Schedule 1 of this policy.

Reports of fraud and bribery can also be made directly to the NHS Counter Fraud Authority: <https://cfa.nhs.uk/reportfraud> or 0800 028 4060

#### **F4. Breaches and Bribery**

As an organisation and as individuals, the ICB has 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 the ICB is using its finite resources in the best interests of patients.

As set out in the ICB's Counter Fraud, Bribery and Corruption Policy the ICB has a zero tolerance attitude towards fraud and bribery. Circumstances around gifts, hospitality and interests could be considered a bribe and all members of staff should consider this in all actions involving gifts, hospitality or interests to protect themselves and the ICB from criminal prosecution.

Committing an act of bribery may result in a penalty of up to ten years' imprisonment, a fine, or both. The ICB may also be exposed to a conviction punishable with an unlimited fine.

Offences cover the offering, promising or giving of a financial or other advantage and the requesting, agreeing to receive or accepting of a financial or other advantage where the overall intention of such an action is to bring about an improper performance or a relevant function or activity.

The ICB will have a defence to the corporate offence if it can show that, despite a particular case of bribery, it nevertheless had 'adequate procedures' in place to prevent persons associated with it from committing bribery offences in line with the Ministry of Justice guidance<sup>6</sup>. The adequate procedures should be informed by the following six principles:

- Proportionate procedures;
- Top-level commitment;
- Risk assessment;
- Due diligence;
- Communication (including training);
- Monitoring and review.

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<sup>6</sup> <https://www.justice.gov.uk/downloads/legislation/bribery-act-2010-guidance.pdf>

## Schedule 1

### Key Contacts

This schedule sets out the names and contact details of key contacts.

Name	Role	Telephone	E-mail
Andrew Spicer	Head of Governance & Risk	020 3688 2032	<a href="mailto:Andrew.spicer1@nhs.net">Andrew.spicer1@nhs.net</a>
Chris Hanson	Deputy Head of Governance and Risk	020 3688 2681	<a href="mailto:Christopher.hanson1@nhs.net">Christopher.hanson1@nhs.net</a>
Kate McFadden-Lewis	Governance & Risk Lead		<a href="mailto:katemcfadden-lewis@nhs.net">katemcfadden-lewis@nhs.net</a>
Kirsty Clarke	The Local Counter Fraud Specialists	07436 268545	<a href="mailto:kirsty.clarke8@nhs.net">kirsty.clarke8@nhs.net</a>
Matt Wilson		07484 040691	<a href="mailto:matt.wilson2@nhs.net">matt.wilson2@nhs.net</a>



## Schedule 2

### Summary of relevant legislation, regulation, guidance and governance best practice

#### Legal framework

The ICB Conflicts of Interest policy is to assist with ICB compliance with its obligations under Sections 14Z30 and 14Z51 of the National Health Service Act 2006 ('Act') as well as NHS England's Interim guidance on functions and governance of the integrated care board.

The Act and guidance set out clear requirements for the ICB to make arrangements for managing actual and potential conflicts of interests and offers of gifts, hospitality and sponsorship to ensure they do not affect, or appear to affect, the integrity of the ICB's decision-making processes.

These requirements are supplemented by procurement-specific requirements in the National Health Service (Procurement, Patient Choice and Competition) (No. 2) Regulations 2013 and the Public Contracts Regulations 2015.

The National Health Service (Procurement, Patient Choice and Competition) Regulations 2013 place requirements on commissioners to ensure that they adhere to good practice in relation to procurement, do not engage in anti-competitive behaviour that is against the interest of patients, and protect the rights of patients to make choices about their healthcare.

The Regulations set out that commissioners must:

- Manage conflicts or potential conflicts of interest when awarding a contract by prohibiting the award of a contract where the integrity of the award has been or appears to have been affected by a conflict; and
- Keep appropriate records of how they have managed any conflicts in individual cases.

The National Health Service (Procurement, Patient Choice and Competition) Regulations 2013 are expected to be replaced by the Provider Selection Regime in 2022. NHS England's website states:

*The aim of the Provider Selection Regime is to give decision makers a more flexible process for deciding who should provide healthcare services, to make it easier to integrate services and enhance collaboration, and to remove the bureaucracy and cost associated with the current rules.*

*It is intended to fit with the integrated, collaborative approach to healthcare commissioning being established in the Health and Care Act by providing a decision-making process that makes space for collaboration to happen and that ensures all decisions about how healthcare is arranged are made transparently and fairly, and in the best interests of patients, taxpayers, and the population.*

The ICB is also expected to be made exempt from some or all of the provisions of the Public Contracts Regulations 2015 at the same time. Until the Provider Selection Regime takes effect, the ICB must act in accordance with the currently in force legislation.

The ICB and individuals within scope of the ICB's Conflicts of interest policy have obligations and duties under both the Fraud Act 2006 and the Bribery Act 2010.

The ICB Conflicts of Interest policy is to work alongside national and local guidance on child and adult safeguarding, as applicable.

#### Governance principles

The ICB Conflicts of Interest policy encourages compliance with:

- Appointment Commission's Code of Accountability and Code of Conduct for NHS Boards;

- The 'Seven Principles of Public Life' (the 'Nolan Principles');
- Good Governance Standards of Public Services principles; and
- The Seven Key Principles of the NHS constitution, and the Equality Act 2010.

### **The Nolan Principles**

- Selflessness – Holders of public office 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 their friends.
- Integrity – Holders of public office 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, or recommending individuals for rewards and benefits, holders of public office should make choices on merit.
- Accountability – Holders of public office are accountable for their decisions and actions to the public and must submit themselves to whatever scrutiny is appropriate to their office.
- Openness – Holders of public office 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.
- Honesty – Holders of public office have a duty to declare any private interests relating to their public duties and to take steps to resolve any conflicts arising in a way that protects the public interest.
- Leadership – Holders of public office should promote and support these principles by leadership and example.

### **ICB Constitution**

The ICB Constitution sets out the principles in accordance with which the ICB must act, and upon which this policy is based. The relevant sections are as follows:

#### **33. CONFLICTS OF INTEREST**

- 33.1 As required by section 14Z30 of the 2006 Act, the ICB has made arrangements to manage any actual and potential conflicts of interest to ensure that decisions made by the ICB will be taken and seen to be taken without being unduly influenced by external or private interest and do not, (and do not risk appearing to) affect the integrity of the ICB's decision-making processes.
- 33.2 The ICB has agreed policies and procedures for the identification and management of conflicts of interest which are published on the ICB's website.
- 33.3 All Board, Committee and Sub-Committee members, officers and employees of the ICB, will comply with the ICB policy on conflicts of interest in line with their terms of office and/ or employment. This will include but not be limited to declaring all interests on a register that will be maintained by the ICB.
- 33.4 All delegation arrangements made by the ICB under Section 65Z5 of the 2006 Act will include a requirement for transparent identification and management of interests and any potential conflicts in accordance with suitable policies and procedures comparable with those of the ICB.

- 33.5 Where an individual, including any individual directly involved with the business or decision-making of the ICB and not otherwise covered by one of the categories above, has an interest, or becomes aware of an interest which could lead to a conflict of interests in the event of the ICB considering an action or decision in relation to that interest, that must be considered as a potential conflict, and is subject to the provisions of this Constitution, the Conflicts of interest Policy and the Standards of Business Conduct Policy.
- 33.6 The ICB has appointed the Audit Committee Chair to be the Conflicts of Interest Guardian. In collaboration with the ICB's governance lead, their role is to:
- a. Act as a conduit for members of the public, healthcare professionals and wider Integrated Care System partners who have any concerns with regards to conflicts of interest;
  - b. Be a safe point of contact for employees or workers to raise any concerns in relation to conflicts of interest;
  - c. Support the rigorous application of conflict of interest principles and policies;
  - d. Provide independent advice and judgment to staff and members where there is any doubt about how to apply conflicts of interest policies and principles in an individual situation;
  - e. Provide advice on minimising the risks of conflicts of interest.

#### 34. PRINCIPLES FOR CONFLICT OF INTEREST MANAGEMENT

- 34.1 In discharging its functions the ICB will abide by the following principles:
- a. Decision making will be geared towards meeting the statutory duties of the ICB at all times including the triple aim;
  - b. Any individual involved in decisions relating to ICB functions must be acting clearly in the interests of the ICB and of the public, rather than furthering any direct or indirect financial, personal, professional or organisational interests;
  - c. ICBs have been created to give statutory NHS providers, local authorities and general practice providers of primary medical service nominees a role in decision making. These individuals will be expected to act in accordance with principles a) and b) above. Whilst it should not automatically be assumed that they are personally or professionally conflicted just by virtue of being an employee, director, partner or otherwise holding a position with one of these organisations the possibility of actual and perceived conflicts of interest arising will remain. For all decisions ICBs will need to carefully consider whether an individual's role in another organisation could result in actual or perceived conflicts of interest and whether or not that outweighs the value of the knowledge they bring to the decision making process;
  - d. The personal and professional interests of all ICB Board Members, ICB committee members and ICB staff who are involved in decision making need to be declared, recorded and managed appropriately;
  - e. Declarations of Interest must be made as soon as practicable after the person becomes aware of the conflict or potential conflict and, in any event, within 28 days of the person becoming aware. This includes being clear and specific about the nature of any interest and about the nature of any conflict that may arise regarding a particular decision and/or item under consideration;
  - f. All Declarations of Interest will be recorded. If an interest is declared but there is no risk of a conflict arising then no further action need be taken. However, if a material interest is declared it should be considered to what extent this material interest affects the balance of the discussion and decision-making process. In doing so the ICB should ensure actual and potential conflicts of interest do not, and do not appear, to affect the integrity of the ICB's decision making processes;
  - g. The ICB shall consider the composition of its decision-making forums and will clearly distinguish between those individuals who will a) be involved in formal decision making and b) those whose input informs decisions. The ICB shall consider the perspective individuals bring and the value they add to both items under discussion

- and decision making. This includes the ability to shape the ICB's understanding of how best to meet patients' needs and deliver care for the ICB's population;
- h. Actions to mitigate any conflicts of interest shall be proportionate and will seek to preserve the spirit of collective decision making wherever possible. Any mitigating actions shall take into account a range of factors which may include but is not limited to:
    - The perception of any conflicts of interest;
    - How a decision may be received if an individual with an actual or a perceived conflict of interest is involved in making the decision;
    - The risks and benefits of having a particular individual involved in making the decision;
  - i. Options in relation to mitigation may include, but is not limited to:
    - Including a conflicted person in the discussion but not in decision making;
    - Excluding a conflicted person from both the discussion and the decision making;
    - Including a conflicted person in the discussion and decision making where there is a clear benefit to them being included in both. Including a conflicted person in the actual decision making shall be done after careful consideration of the risks and with proper mitigations in place. The rationale for inclusion shall also be properly documented and included in minutes;
    - Excluding a conflicted individual and securing technical or local expertise from an alternative, unconflicted source;
  - j. The way conflicts of interest are declared and managed shall contribute to a culture of transparency about how decisions are made. The minutes or record of meetings shall include declarations of any actual or perceived conflicts of interest, how the conflict of interest shall be mitigated together with the rationale and how the conflict of interest was managed;
  - k. Conflicts of interest shall be managed in accordance with NHS England guidance including for the provider selection regime and for joint working and delegation arrangements. For the provider selection regime this includes the situation where decisions are being taken as part of a formal competitive procurement of services with any individual who is associated with an organisation that has a vested interest in the procurement recusing themselves from the process.

## 35. DECLARING AND REGISTERING INTERESTS

35.1 The ICB maintains registers of the interests of:

- a. Members of the ICB;
- b. Members of the Board's Committees and Sub-Committees;
- c. Officers of the ICB including Clinical Leads;
- d. Its employees.

35.2 In accordance with section 14Z30(2) of the 2006 Act registers of interest are published on the ICB's website.

35.3 All relevant persons as per 33.3 and 33.5 above must declare any conflict or potential conflict of interest relating to decisions to be made in the exercise of the ICB's commissioning functions.

35.4 Declarations should be made as soon as reasonably practicable after the person becomes aware of the conflict or potential conflict and in any event within 28 days. This could include interests an individual is pursuing. Interests will also be declared on appointment and during relevant discussion in meetings.

35.5 All relevant declarations will be entered in the registers as per 35.1 above.

- 35.6 The ICB will ensure that, as a matter of course, declarations of interest are made and confirmed, or updated at least annually.
- 35.7 Interests (including gifts and hospitality) of decision-making staff will remain on the public register for a minimum of six months. In addition, the ICB will retain a record of historic interests and offers/receipt of gifts and hospitality for a minimum of six years after the date on which it expired. The ICB's published register of interests states that historic interests are retained by the ICB for the specified timeframe and details of whom to contact to submit a request for this information.
- 35.8 Activities funded in whole or in part by third parties who may have an interest in ICB business such as sponsored events, posts and research will be managed in accordance with the ICB policy to ensure transparency and that any potential for conflicts of interest are well-managed.

## 36. STANDARDS OF BUSINESS CONDUCT

- 36.1 Board members, employees, Committee and Sub-Committee members of the ICB will at all times comply with this Constitution and be aware of their responsibilities as outlined in it. They should:
- a. Act in good faith and in the interests of the ICB;
  - b. Follow the Seven Principles of Public Life; set out by the Committee on Standards in Public Life (the Nolan Principles);
  - c. Comply with the ICB Standards of Business Conduct Policy, and any requirements set out in the policy for managing conflicts of interest.
- 36.2 Individuals contracted to work on behalf of the ICB or otherwise providing services or facilities to the ICB will be made aware of their obligation to declare conflicts or potential conflicts of interest. This requirement will be written into their contract for services and is also outlined in the ICB's Standards of Business Conduct policy.

### **ICB Governance**

The ICB Conflicts of Interest policy is designed to be as clear and comprehensive as possible. However, we operate in a dynamic and evolving work environment and, when applying or interpreting any of the ICB's policies, attention should be paid to the spirit of the policy as well as the letter. Good practice informed by policy and guidance, rather than policies alone, guarantees effective behaviour and the delivery of key objectives.

This policy should be read in conjunction with the ICB's Constitution, with particular reference to the Conflicts of Interest section, and the following policies:

- Speaking Up (Whistleblowing) Policy;
- Counter Fraud, Bribery and Corruption Policy;
- Disciplinary Policy;
- Equality & Diversity Policy; and
- Standards of Business Conduct Policy;
- Joint Working With The Pharmaceutical Industry Policy;
- Clinical Procurement Policy
- Standing Financial Instructions.

In the event of a conflict of interpretation between policies in the area of conflicts of interest and/or gifts, hospitality and sponsorship the provisions of the ICB Conflicts of Interest policy shall prevail except to the extent that it applies to joint working with the pharmaceutical industry. The ICB has a supplementary policy which builds upon and strengthens the provisions of the Conflicts of Interest policy.

The NHS recognises the need for joint working with the pharmaceutical industry where this benefits patients. However, joint working with the pharmaceutical industry has the potential to increase the risk of conflicts of interest and/or fraud. The ICB has established the Sponsorship and Joint Working with the Pharmaceutical Industry policy to manage these risks, provide a framework within which staff and other partners may work effectively with the pharmaceutical Industry and ensure the ICB complies with all relevant legislation and official guidance. Staff must follow both the Conflicts of Interest policy and the Sponsorship and Joint Working with the Pharmaceutical Industry policy when working, or proposing to work, with the pharmaceutical industry.

**Declarations of Interest Form for ICB Board and Committee members  
and attendees / Clinical Leads / Staff**

See below for guidance. You should also refer to the ICB's [Conflicts of Interest Policy](#) (September 2022 and interim [NHSE guidance](#) )

About You				
Name				
Job title / role description				
Positions held in relation to ICB business <i>(e.g. member or attendee of ICB Board / Partnership Board / Committee meetings / Joint Committees etc)</i>				
Do you have any interests to declare? <i>Please state 'Yes' or 'No'. If No, leave the rest of the form blank and sign/date the final section.</i>				
Interests				
<i>(answer for ALL the following questions)</i>				
Type of Interest	Description of interest	Details of the relationship with the person who has the interest  <i>(for indirect Interests) eg spouse</i>	Date Interest relates to  From / To	Actions to be taken to mitigate risk  <i>(to be agreed with line manager or a senior ICB manager)</i>
Roles and responsibilities held within your organisation <i>(eg UCLH, Enfield Council, Healthwatch etc)</i>				
Directorships held in private companies or PLCs, including non-executive directorships <i>(please state paid or unpaid)</i>				

<p>Positions of authority in a charity or social organisation in the field of health and/or social care. <i>(e.g., trustee, director, manager)</i> <i>(please state paid or unpaid)</i></p>				
<p>Ownership or part-ownership of private companies, businesses or consultancies likely or possibly seeking to do business with the ICB and/or other NHS organisations.</p>				
<p>Secondary Employment. Employees must seek permission from their line manager if you have or seek to undertake any additional work or employment <i>(this can include voluntary work, bank, locum, private, consulting etc)</i></p>				
<p>Shareholdings of more than five per cent in companies in the field of health and/or social care.</p>				
<p>Any connection with a voluntary or other organisation contracting for NHS services.</p>				
<p>Any connection or involvement with a pharmaceutical company. <i>(e.g. attending an advisory board or undertaking work on specific product development)</i></p>				



Research funds or grants received by the individual or any connected organisation.				
Other specific interests.				
Do you, a close family member or a partner with whom you jointly own or control a business: <ul style="list-style-type: none"> <li>• have ownership;</li> <li>• control; or</li> <li>• are a senior manager</li> </ul> in any organisation either seeking to do business with the NHS or are doing business with the NHS?				
Any other roles or relationships which the public could perceive as impairing or influencing your judgement of actions in your role with the ICB.				
<b>For GPs, Clinical Leads, Commissioning Teams and Primary Care staff</b>				
Are you working for a practice that is a member of a GP Federation?				
Are you working for a practice that is a member of a Primary Care Network?				
Roles and responsibilities with: <ul style="list-style-type: none"> <li>• Local Integrated Urgent Care Services,</li> </ul>				

<ul style="list-style-type: none"> <li>• Out Of Hours Service</li> </ul>				
<p>Any membership of the</p> <ul style="list-style-type: none"> <li>• Local Medical Committee,</li> <li>• Local Pharmaceutical Committee,</li> <li>• Local Dental Committee or</li> <li>• Local Optical Committee.</li> </ul>				
<p><i>I confirm that the information provided above is complete and correct. I acknowledge that any changes in these declarations must be notified to the ICB as soon as practicable and no later than 28 days after the interest arises.</i></p> <p><i>I am aware that if I do not make full, accurate and timely declarations then internal disciplinary, criminal, civil, or professional regulatory action may result. Should I provide false or misleading information, I understand that a referral may be made to the Local Counter Fraud Specialist for a criminal investigation.</i></p>			<p><b>Date</b></p> <p><b>Signed</b></p>	

## Guidance:

- If you are unsure whether an interest needs to be declared or assistance required to check / complete / edit this form please contact [Andrew Tillbrook](#), Board Secretary, NCL, [Karl Thompson](#), Deputy Director of Corporate Affairs, NCL; or [nclpcb.boardseccalendar@nhs.net](mailto:nclpcb.boardseccalendar@nhs.net)
- Refer to the ICB's [Conflict of Interest Policy](#) on the ICB's Intranet;
- All ICB staff, Board, Committee, Joint Committee, Partnership members, Clinical Leads and any other individuals involved in the ICB's decision-making processes need to complete this form and either declare their interests **or** confirm they have no interests;
- **Staff** for this purpose means anyone who works at the ICB in any capacity; employees, interims, contractors, etc. If in doubt if this applies, do ask;
- **Members** means practice partners and any individual from a practice directly involved with the business or decision making of the ICB;
- Complete and return the form in hard copy or email a scanned copy to:

Andrew Tillbrook, Board Secretary at [andrew.tillbrook@nhs.net](mailto:andrew.tillbrook@nhs.net) or [nclpcb.boardseccalendar@nhs.net](mailto:nclpcb.boardseccalendar@nhs.net)

- Remember: an interest is anything that could influence your judgement or actions; or that could be **perceived** to influence your judgement or actions;
- Relevant interests include those of your family, friends and acquaintances, and means anything actual, potential or perceived;
- If you are in doubt, **declare it**;
- When completing the form you should include enough detail that a lay person or member of the public would understand the implications and why the interest needs to be registered;
- You will need to complete a new form:
  - at least annually and/or;
  - if you start a new role within the ICB and/or;
  - if you become aware of an interest that you need to declare
- A declaration must be made of any interest likely to lead to a conflict or potential conflict as soon as the individual becomes aware of it, and within 28 days
- You will also need to declare any and all interests at the start of meetings you are part of if there is, or you feel there may be, a related agenda item for discussion.
- The registers for all staff (permanent, interim and contractors), Board and Committee members and clinical leads are held and managed by the NCL ICB Board Secretary, Andrew Tillbrook. These registers are subject to audit by the ICB's internal auditors.
- An extract of the register of interests, containing senior/decision-making ICB staff, clinical leads and Board/Committee members, will be published on the ICB's website. DoI information may be shared between ICB Board Secretaries in NCL- for example, where there NCL-wide committees).

*This form (whether in paper form or electronic/digital form) is required to be completed in accordance with the ICB's Constitution, Conflicts of Interests Policy, and section 14O of The National Health Service Act 2006, the NHS (Procurement, Patient Choice and Competition) regulations 2013 and the Substantive guidance on the Procurement, Patient Choice and Competition Regulations).*

## Guidance on Potential Types of Interest

Types of interest	Description
<b>Financial Interests</b>	<p>This is where an individual may get direct financial benefits from the consequences of a commissioning decision. This could, for example, include being:</p> <ul style="list-style-type: none"> <li>• A director, including a non-executive director, or senior employee in a private company or public limited company or other organisation which is doing, or which is likely, or possibly seeking to do, business with health or social care organisations;</li> <li>• A shareholder (or similar owner interests), a partner or owner of a private or not-for-profit company, business, partnership or consultancy which is doing, or which is likely, or possibly seeking to do, business with health or social care organisations.</li> <li>• A management consultant for a provider;</li> <li>• In secondary employment, self employment, bank, locum, voluntary work</li> <li>• In receipt of secondary income from a provider;</li> <li>• In receipt of a grant from a provider;</li> <li>• In receipt of any payments (for example honoraria, one off payments, day allowances or travel or subsistence) from a provider</li> <li>• In receipt of research funding, including grants that may be received by the individual or any organisation in which they have an interest or role; and</li> <li>• Having a pension that is funded by a provider (where the value of this might be affected by the success or failure of the provider).</li> </ul>
<b>Non-Financial Professional Interests</b>	<p>This is where an individual may obtain a non-financial professional benefit from the consequences of a commissioning decision, such as increasing their professional reputation or status or promoting their professional career. This may, for example, include situations where the individual is:</p> <ul style="list-style-type: none"> <li>• An advocate for a particular group of patients;</li> <li>• A GP with special interests e.g., in dermatology, acupuncture etc.</li> <li>• A member of a particular specialist professional body (although routine GP membership of the RCGP, BMA or a medical defence organisation would not usually by itself amount to an interest which needed to be declared);</li> <li>• An advisor for Care Quality Commission (CQC) or National Institute for Health and Care Excellence (NICE);</li> <li>• A medical researcher.</li> </ul>
<b>Non-Financial Personal Interests</b>	<p>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. This could include, for example, where the individual is:</p> <ul style="list-style-type: none"> <li>• A champion for a provider;</li> <li>• A volunteer for a provider;</li> <li>• A member of a voluntary sector board or has any other position of authority in or connection with a voluntary sector organisation;</li> <li>• Suffering from a particular condition requiring individually funded treatment;</li> <li>• A member of a lobby or pressure groups with an interest in health.</li> </ul>
<b>Indirect Interests</b>	<p>This is where an individual has a close association with an individual who has a financial interest, a non-financial professional interest or a non-financial personal interest in a commissioning decision (as those categories are described above). For example, this should include:</p> <ul style="list-style-type: none"> <li>• Spouse / partner;</li> <li>• Close relative e.g., parent, grandparent, child, grandchild or sibling;</li> <li>• Close friend;</li> <li>• Business partner.</li> </ul>

## **Schedule 4**

### **Guidance on specific interests**

#### **Partnerships and companies**

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 ICB.

There is no need to declare shares or securities held in collective investment or pension funds or units of authorised unit trusts.

#### **Outside Employment**

Individuals are not precluded from having secondary employment but the ICB must be informed of such employment. Employees of the ICB are reminded that they must seek permission from their line manager if they are seeking to undertake any additional work or employment.

Secondary or outside employment is defined as:

- Paid employment or work outside of the ICB;
- Voluntary employment or work outside of the ICB;
- Self-employment/private work;
- Reservist occupations;
- Bank/locum/agency work outside of the ICB.

#### **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.

#### **Intellectual property**

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 ICB.

Director approval is required before entering into any agreement with bodies regarding product development, research, work on pathways etc., where this impacts on the ICB's own time, or uses its equipment, resources or intellectual property.

#### **Clinical Private Practice**

Clinical staff should declare all private practice at the earliest opportunity.

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.<sup>7</sup>

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<sup>7</sup> These provisions already apply to Hospital Consultants by virtue of Paras.5 and 20, Sch. 9 of the

- Not accept direct or indirect financial incentives from private providers other than those allowed by Competition and Markets Authority [guidelines](#).

**Schedule 5  
Declaration of Gifts, Hospitality, and Sponsorship form**

**Declaration of gifts and hospitality**

Recipient Name	Position	Date of Offer	Date of Receipt <i>(if applicable)</i>	Details of Gift / Hospitality	Estimated Value	Supplier / Offeror: Name and Nature of Business	Details of previous offers or Acceptance by this Offeror / Supplier	Details of the officer reviewing and approving the declaration made and date	Declined or Accepted?	Reason for Accepting or Declining	Other comments, including action taken to mitigate conflict

*The information submitted will be held by the ICB 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 2018. Information may be disclosed to third parties in accordance with the Freedom of Information Act 2000 and in the case of 'decision making staff' (as defined in the statutory guidance on managing conflicts of interest for CCGs), may be published in registers that the ICB 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 ICB as soon as is 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, professional regulatory or internal disciplinary action may result.

[This paragraph applies to decision-making staff only] **I do / do not (delete as applicable)** give my consent for this information to published on registers that the ICB holds. If consent is NOT given, please give reasons: Please refer to the [NHSE Guidance 2017](#) (pages, 10 to 12)

**Signed:**

**Date:**

**Signed:**

**Position:**

**Date:**

**(Line Manager or a Senior ICB Manager)**

Please return this form to [Andrew Tillbrook](#), Board Secretary or a member of the [Governance Team](#).

**Schedule 6  
Declaration of Interest checklist**

Timing	Checklist for Chairs	Responsibility
<b>In advance of the meeting</b>	<ol style="list-style-type: none"> <li><b>1. The agenda</b> to include a standing item on declaration of interests to enable individuals to raise any issues and/or make a declaration at the meeting.</li> <li><b>2. A definition of conflicts of interest</b> should also be accompanied with each agenda to provide clarity for all recipients.</li> <li><b>3. Agenda</b> to be circulated to enable attendees (including visitors) to identify any interests relating specifically to the agenda items being considered.</li> <li><b>4. Members should contact the Chair</b> as soon as an actual or potential conflict is identified.</li> <li><b>5. Chair to review a summary report from preceding meetings</b> i.e., sub-committee, working group, etc., detailing any conflicts of interest declared and how this was managed.</li> </ol> <p><b>A template for a summary report</b> to present discussions at preceding meetings is detailed below.</p> <ol style="list-style-type: none"> <li><b>6. A copy of the members' declared interests</b> is checked to establish any actual or potential conflicts of interest that may occur during the meeting.</li> </ol>	<p>Meeting Chair and secretariat</p> <p>Meeting Chair and secretariat</p> <p>Meeting Chair and secretariat</p> <p>Meeting members</p> <p>Meeting Chair</p> <p>Meeting Chair</p>



Timing	Checklist for Chairs	Responsibility
During the meeting	<p><b>7. Check and declare the meeting is quorate</b> and ensure that this is noted in the minutes of the meeting.</p> <p><b>8. Chair requests members to declare any interests in agenda items-</b> which have not already been declared, including the nature of the conflict.</p> <p><b>9. Chair makes a decision</b> as to how to manage each interest which has been declared, including whether / to what extent the individual member should continue to participate in the meeting, on a case by case basis, and this decision is recorded.</p> <p><b>10. As minimum requirement, the following should be recorded in the minutes of the meeting:</b></p> <ul style="list-style-type: none"> <li>• Individual declaring the interest;</li> <li>• At what point the interest was declared;</li> <li>• The nature of the interest;</li> <li>• The Chair’s decision and resulting action taken;</li> <li>• The point during the meeting at which any individuals retired from and returned to the meeting - even if an interest has not been declared;</li> <li>• <b>Visitors in attendance</b> who participate in the meeting must also follow the meeting protocol and declare any interests in a timely manner.</li> </ul> <p><b>A template for recording any interests during meetings</b> is detailed below.</p>	<p>Meeting Chair</p> <p>Meeting Chair</p> <p>Meeting Chair and secretariat</p> <p>Secretariat</p>
Following the meeting	<p><b>11. All new interests declared</b> at the meeting should be promptly updated onto the declaration of interest form;</p> <p><b>12. All new completed declarations of interest should be transferred onto the register of interests.</b></p>	<p>Individual(s) declaring interest(s)</p> <p>Designated person responsible for registers of interest</p>

### Template for recording any interests during meetings

Report from <insert details of sub-committee/ work group>	
Title of paper	<insert full title of the paper>
Meeting details	<insert date, time and location of the meeting>

<b>Report author and job title</b>	<insert full name and job title/ position of the person who has written this report>
<b>Executive summary</b>	<include summary of discussions held, options developed, commissioning rationale, etc.>
<b>Recommendations</b>	<include details of any recommendations made including full rationale>  <include details of finance and resource implications>
<b>Outcome of Impact Assessments completed (e.g. Quality IA or Equality IA)</b>	<Provide details of the QIA/EIA. If this section is not relevant to the paper state 'not applicable'>
<b>Outline engagement – clinical, stakeholder and public/patient:</b>	<Insert details of any patient, public or stakeholder engagement activity. If this section is not relevant to the paper state 'not applicable'>
<b>Management of Conflicts of Interest</b>	<Include details of any conflicts of interest declared>  <Where declarations are made, include details of conflicted individual(s) name, position; the conflict(s) details, and how these have been managed in the meeting>  <Confirm whether the interest is recorded on the register of interests- if not agreed course of action>
<b>Assurance departments/ organisations who will be affected have been consulted:</b>	<Insert details of the people you have worked with or consulted during the process : Finance (insert job title) Commissioning (insert job title) Contracting (insert job title) Medicines Optimisation (insert job title) Clinical leads (insert job title) Quality (insert job title) Safeguarding (insert job title) Other (insert job title)>

**Schedule 7  
Register of Interests**

Name	Current position (s) held in the ICB i.e. Governing Body member; Committee member; Member practice; ICB employee or other	Declared Interest (Name of the organisation and nature of business)	Type of Interest			Is the interest direct or indirect?	Nature of Interest	Date of interest		Action taken to mitigate risk
			Financial Interest	Non-Financial Professional Interest	Non-Financial Personal Interest			From	To	

**Schedule 8**  
**Register of Gifts, Hospitality, and Sponsorship**

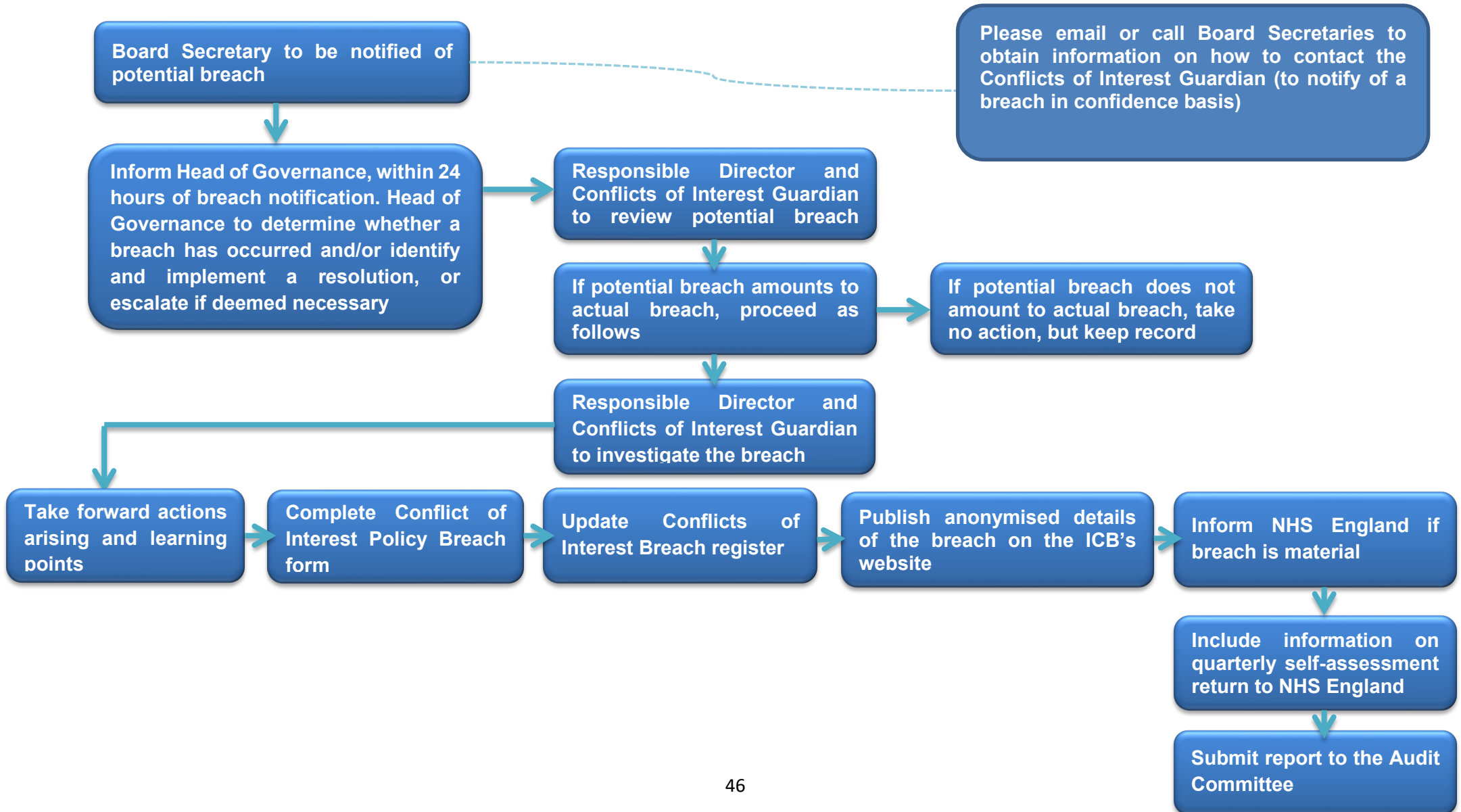
Name	Position	Date of Offer	Declined or Accepted?	Date of Receipt (if applicable)	Details of Gift /Hospitality	Estimated Value	Supplier / Offeror Name and Nature of business	Reason for Accepting or Declining

**Schedule 9**  
**Register of Procurement Decisions**

Ref No	Contract/ Service title	Procurement description	Existing contract or new procurement (if existing include details)	Procurement type – ICB procurement , collaborative procurement with partners	ICB clinical lead	ICB contact manager	Decision making process and name of decision making committee	Members present at decision making	Summary of conflicts of interest declared and how these were managed	Contract awarded (supplier name & registered address)	Contract value to ICB (£) (Total)	Contract start and finish dates

Last Update:

**Schedule 10**  
**Process for managing breaches of the Conflicts of Interest Policy**



**Schedule 11**  
**Conflicts of Interest Policy breach reporting form**

<b>Date of Breach</b>	
<b>Details of breach of the conflicts of interest policy</b>	
<b>Immediate Action Taken</b>	
<b>Actions Taken to Mitigate the risk</b>	
<b>Learning/Actions Arising: [Please complete &amp; state None if nothing/no action]</b>	
<b>Other Information</b>	
<b>To be completed by the Chief Executive</b>	
<b>Date COI Guardian was notified of breach</b>	
<b>Is this a Material Breach? (Definition of materiality breach to be agreed)</b>	
<b>Date Material breach was reported to NHS England?</b>	

I certify that the information I have given in this declaration form is correct and to the best of my knowledge. Should it later be discovered that I have given false information, I understand that my employment/contract could be terminated by dismissal and that I may be subject to criminal investigation.'

Name of employee.....Signature of  
Employee.....

Date.....

Name of Line Manager.....Signature of Line  
Manager.....

Date.....

Chief Operating Officer / Deputy Director of Finance

Signature..... .Date.....

*This form must be completed and returned to the Board Secretary within five working days of the initial report to the Conflicts of Interest Guardian.*

Please return this form to: The Board Secretary,

**Signed:**

**Date:**



**Schedule 12**  
**Conflicts of Interest Policy breach register**

Last Update:

ICB Contact: Board Secretary

Telephone:

Email:

<b>Date of breach</b>	<b>Details of breach of the conflicts of interest policy</b>	<b>Details of how and by whom the breach was investigated</b>	<b>Action taken to mitigate breach</b>	<b>Date breach reported to Audit Committee</b>	<b>Date of breach reported to NHS England if material as defined by the Policy</b>