

AGENDA ITEM

2.1.3

AUDIT & RISK COMMITTEE

**AMENDMENT TO THE STANDARDS OF BEHAVIOUR FRAMEWORK
POLICY – DECLARATIONS OF INTEREST**

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| Date of meeting | 24.02.2022 |
| FOI Status | Open/Public |
| If closed please indicate reason | Not Applicable - Public Report |
| Prepared by | Cally Hamblyn, Assistant Director of Governance & Risk |
| Presented by | Georgina Galletly, Director of Corporate Governance |
| Approving Executive Sponsor | Director of Corporate Governance |
| Report purpose | ENDORSE FOR BOARD APPROVAL |

Engagement (internal/external) undertaken to date (including receipt/consideration at Committee/group)

| Committee/Group/Individuals | Date | Outcome |
|------------------------------------|-------------|----------------|
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ACRONYMS

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| DOI | Declarations of Interest |
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1. SITUATION/BACKGROUND

- 1.1 The purpose of the Standards of Behaviour Framework Policy is to set out the Cwm Taf Morgannwg University Health Boards (CTMUHB) commitment to ensuring that its Employees and Independent Board Members practice the highest standards of conduct and behaviour.



- 1.2 The Director of Corporate Governance is responsible for ensuring that a Register of Interests is established and maintained as a formal record of interests declared by Employees and Independent Board Members and that there are arrangements in place to prompt specific groups within the Health Board to complete a Declaration of Interest Form on initial employment with the Health Board and at periodic intervals thereafter.
- 1.3 The purpose of this report is to put forward a change in relation to the prompt to specific groups as outlined in red on page 6 of the policy, please see Appendix 1.

2. SPECIFIC MATTERS FOR CONSIDERATION BY THIS MEETING (ASSESSMENT)

- 2.1 All staff are encouraged to declare any interests, however, as outlined in the policy, a formal prompt to complete a Declaration of Interest is currently issued via email to circa 1341 (as at April 2021) members of staff that fall within the category of Consultant, Very Senior Managers or those staff banded at 8a or above.
- 2.2 The approach taken by CTM, although seen as best practice, sees the Health Board target a higher proportion of staff from a greater range of banding. This is proving a significant administrative burden to manage in the current climate. In light of this, the Corporate Governance Function have undertaken a prioritisation assessment and consider that in order to effectively manage the volume of activity within the limited resource available, it is proposed that the process to proactively seek declarations is focussed on higher banded employees who are more likely to have greater degree of influence in decision making and financial control.
- 2.3 The Standards of Behaviour Framework Policy clearly articulates the responsibility of all employees to ensure that they:
- Understand this Policy and the Standards of Behaviour Framework, consulting their line manager if they require clarification.
 - Are not in a position where their private interests and NHS duties may conflict.
 - Declare to the Health Board for recording in the Register of Interests any relevant interests
 - At the commencement of employment
 - Whenever a new interest arises, and
 - If asked to do so at periodic intervals by the Health Board.
- 2.4 The requirement to declare interests will be promoted at intervals throughout the year via formats such as the staff newsletter.

- 2.5 The Procurement Department also ensure that there are arrangements in place so that all those involved in procurement activity are provided with an opportunity to declare any relevant interests.
- 2.6 The suggested proposal outlined in red in the Policy at Appendix 1 is to target Consultants, Very Senior Managers, Board Members and Staff at Band 8d and Band 9. This equates to an approximate target audience of 547, reducing from the current target audience of 1341.

3. KEY RISKS/MATTERS FOR ESCALATION TO BOARD/COMMITTEE

3.1 Risk Impact:

- Potential impact on no longer being recognised as demonstrating 'best practice' given recent positive feedback on the proactive stance that the Health Board takes in its management of Declarations of Interest.
- Failure to identify a potential conflict of interest due to the reduction in targeted prompts from 1341 staff to 547.

3.2 Risk Mitigation

- All Staff have a responsibility to declare, the prompt is an additional proactive step in the process.
- The need to declare a Declaration of Interest is now captured in the new PADR Process for a discussion between the Line Manager and member of staff.
- Declaration of Interests is included in Welcome Day Induction for all new staff joining CTMUHB.
- Declarations of Interest is also captured in Counter Fraud Training.
- The Corporate Governance Function will continue to provide advice on request.
- There is a dedicated SharePoint page with guidance on what, how and when to complete a Declaration of Interest.
- The Procurement Department ensure declarations of interest are sought in relation to staff engaging in procurement activity.
- There is no consistent approach across NHS Wales in terms of an agreed targeted audience and therefore the Health Board will not be an outlier.

4. IMPACT ASSESSMENT

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| Quality/Safety/Patient Experience implications | Yes (Please see detail below) |
| | The Register and Declaration of Interests is the method by which the Health Board safeguards against conflict or potential conflict of interest where private interests |



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| | and public duties of members of staff do not concur. The Health Board must be impartial and honest in the conduct of its business and must ensure that employees remain beyond suspicion at all times. |
| Related Health and Care standard(s) | Governance, Leadership and Accountability |
| | If more than one Healthcare Standard applies please list below: |
| Equality Impact Assessment (EIA) completed - Please note EIAs are required for <u>all</u> new, changed or withdrawn policies and services. | No (Include further detail below) |
| | An EIA will be completed on the policy when reviewed in its entirety. |
| Legal implications / impact | There are no specific legal implications related to the activity outlined in this report. |
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| Resource (Capital/Revenue £/Workforce) implications / Impact | There is no direct impact on resources as a result of the activity outlined in this report. |
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| Link to Strategic Goals | Improving Care |

5. RECOMMENDATION

- 5.1 The Audit and Risk Committee is asked to **Endorse Approval** of the amendment to the Standards of Behaviour Framework Policy for onward submission to the Health Board meeting for final ratification.