

**STANDARDS OF BEHAVIOUR POLICY
INCORPORATING DECLARATIONS OF INTEREST, GIFTS,
HOSPITALITY AND SPONSORSHIP**

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The latest approved version of this document is online.
If the review date has passed, please contact the Author for advice.

Version	Summary of Changes/Amendments	Issue Date
1	New Policy	2015
2	<p>The Policy has been strengthened to ensure that processes are in place are aligned to best practice.</p> <ul style="list-style-type: none"> • With regard to Gifts from Service Users or their Relatives, the value of gift tokens for acceptance has been removed (from £25 to £0, in line with NHS England Guidance and NHS Wales) 	2019
3	<p>The Policy has been strengthened to ensure processes are in place aligned to best practice. Amendment of declaration process to complete any declaration of interests via the Electronic Staff Record (ESR) Management system in support of recording lifelong declarations. A new programme of communication to be implemented across the Organisation to strengthen awareness and to encourage employees to regularly update new or existing conflicts of interest.</p> <ul style="list-style-type: none"> • The Policy has been updated to ensure consistency across all NHS Wales. 	2024

Item No.	Contents	Page
1	Policy Statement / Introduction	7
2	Aims and Objectives	9
3	Definitions	10
4	Responsibilities	10
5	Registers of Interest	15
6	Declarations of Interests in Meetings	15
7	Gifts and Hospitality, Honoraria and Sponsorship	15
8	Hospitality	20
9	Sponsorship	23
10	Use of the PTHB Logo	30
11	Research and Development	30
12	Charitable Funds	30
13	Secondary Employment and Private Practice	30
14	Managing Personal Relationships	32
15	Rewards for Initiative	34
16	Social Networking Sites	35
17	Time Keeping	36
18	Election Campaigns	37
19	Failure to adhere to Standards of Behaviour Policy	38
20	Equality	39
21	Resources	39
22	Training	40
23	Implementation	40
24	Publication of Registers	40
25	Audit and Monitoring	41
26	Distribution	41
27	Confidentiality	42
28	Please read in conjunction with	42
29	Acknowledgements	42
App.	Appendices	Page
A	Standards of Behaviour Framework	44

ENGAGEMENT & CONSULTATION

Key Individuals/Groups Involved in Developing this Document

Role / Designation
Director of Corporate Governance/Board Secretary
Corporate Governance Business Officer
Head of Local Counter Fraud Services

Circulated to the following for Consultation

Date	Role / Designation
	PTHB Employees and Independent Members
	Executive Committee
	Audit, Risk and Assurance Committee
	PTHB Board

Evidence Base
<ul style="list-style-type: none"> • Commercial Sponsorship - Ethical Standards for the NHS, Department of Health; • Code of Conduct and Accountability, Welsh Assembly Government, 2003; • WHC (2005) 016 The NHS & Sponsorship by the Pharmaceutical Industry; • WHC (2006) 090 The Codes of Conduct and Accountability for NHS Boards and the Code of Conduct for NHS Managers Directions 2006 • The health board Standing Orders & Standing Financial Instructions • Bribery Act 2010 • General Medical Council Good Medical Practice Guidance – Financial and Commercial Arrangements and Conflicts of Interest, 2013 • Nursing & Midwifery Council Gifts and Gratuities Guidance, September 2013 and The Code: Standards of Conduct, Performance & Ethics for Nurses & Midwives • Association of British Pharmaceutical Industry (ABPI) Code of Practice for the Pharmaceutical Industry 2016 • Overpayments Protocol (NHS Wales Shared Services Partnership) • All Wales Code of Conduct (Business) for NHS Staff • Prevention of Fraud, Bribery and Corruption • Commercial Sponsorship – Ethical Standards for the NHS • NHS England - Guidance on Managing Conflicts of Interest in the NHS

IMPACT ASSESSMENTS

Equality Impact Assessment Summary					
	No impact	Adverse	Differential	Positive	Statement
Age	x				PTHB is committed to ensuring that, as far as is reasonably practicable, the way it provides services to the public and the way it treats its Employees, reflects their individual needs and does not discriminate against individuals or groups.
Disability	x				
Gender reassignment	x				
Pregnancy and Maternity	x				
Race	x				
Religion or Belief	x				
Sex	x				
Sexual Orientation	x				
Marriage and Civil Partnership	x				
Welsh Language	x				

Risk Assessment Summary
<p>Have you identified any risks arising from the implementation of this policy / procedure / written control document?</p> <p>No</p>
<p>Have you identified any Information Governance issues arising from the implementation of this policy / procedure / written control document?</p> <p>The register of interests for Board Members will be available for public scrutiny and will be published on Powys teaching Health Board's (PTHB) website, in accordance with the General Data Protection Regulation (EU 2016/679) and data protection legislation.</p> <p>The register of interests for staff will contain personal identifiable information of not only staff members but also possibly members of their families and close relations. It will therefore be protected as rigorously as other staff information and will be treated confidentially. Staff should be aware that any such register might be the subject of a Freedom of Information request. This would be dealt with in accordance with the Act, policy and appropriate guidelines.</p>
<p>Have you identified any training and / or resource implications as a result of implementing this?</p> <p>There are no training implications arising from this Policy and the Standards of Behaviour Framework. However, awareness of the importance of compliance with both documents will require reference to them in induction programmes, during Individual Performance</p>

Reviews/Appraisals and at times when Employees are invited to make declarations.

Directors and Managers need to be aware of their responsibilities for advising staff that are accountable to them, of their responsibilities in connection with this Policy and the Code and ensuring declarations are made.

PTHB Values and Behaviours Framework

The Values and Behaviour Framework is for **all** staff working within the health board. The behaviours underpin the values that we, as an organisation, want to portray and as such they outline the behaviours in our interactions with colleagues, patients, public and service users, partners and stakeholders. Our values and behaviours are key to making Powys a “great place to work”. They are the basis of all of our practices which will support a culture of continuous improvement and high performance. PTHB Values are:

- Working Together
- Trust
- Integrity
- Fairness and Equality
- Respect
- Kindness and Caring

1 Policy Statement / Introduction

The Standards of Behaviour Policy enables Powys Teaching Health Board (PTHB) to ensure that its employees and Independent Members practice the highest standards of conduct and behaviour. This policy sets out the expectations required and provides supporting guidance so that all employees and Independent Members are supported in delivering that requirement.

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

The Welsh Government's Citizen-Centered Governance Principles apply to all public bodies in Wales. (Page 15) [Pocket Guide for NHS Wales Boards English.pdf](#). These principles integrate all aspects of governance and embody the values and standards of behaviour expected at all levels of public services in Wales.

The Board is strongly committed to the health board being value-driven, rooted in 'Nolan' principles and high standards of public life and behaviour, including openness, customer service standards, diversity and engaged leadership.

The 'Seven Principles of Public Life' (the 'Nolan Principles'), form the basis of the health board's Standards of Behaviour requirements for its employees and Independent Members. These are:

- **Selflessness**
- **Integrity**
- **Objectivity**
- **Accountability**
- **Openness**
- **Honesty**
- **Leadership**

The Codes of Conduct and Accountability for NHS Boards and the Code of Conduct for NHS Managers Directions 2006 reinforce the seven principles of public life and focus on the crucial public service values which must underpin the work of the health service; these are available via the following link: (Page 11) [Pocket Guide for NHS Wales Boards English.pdf](#)

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

- Ensuring that the interests of service users remain paramount;
- Being impartial and honest in the conduct of their official business;
- Using public funds to the best advantage of the service and the service users, always seeking to ensure value for money;

- Not abusing their official position for personal gain or to benefit family or friends;
- Not seeking advantage or to further private business or other interests in the course of their official duties; and
- Not seeking or knowingly accepting preferential rates or benefits in kind for private transactions carried out with companies, with which they have had, or may have, official dealings on behalf of the health board.

This Standards of Behaviour Policy re-states and builds on the provisions of Section 7, Values and Standards of Behaviour, of the health board’s Standing Orders. It re-emphasises the commitment of the health board to ensure that it operates to the highest standards, the roles and responsibilities of those employed by the health board, and the arrangements for ensuring that declarations of interests, gifts, hospitality, honoraria and sponsorship can be made.

The policy is supported by a short guide on the Standards of Behaviour Framework (see **Appendix B**) that provides a summary of expected conduct and is intended to complement all applicable professional codes of conduct, including:

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

1.1 Scope

This policy is applicable across the whole of the health board. It applies to all employees and Independent Members. The term ‘employees’ includes all those who have a contract of employment or honorary contract (including volunteers) with the health board, and bank workers. The policy also applies to trustees of the health board’s Charitable Funds.

2. Aims and Objectives

2.1 Aims

PTHB is committed to ensuring that all employees and Independent Members practice the highest standards of conduct and behaviour, based on the recognition that the needs of service users must come first.

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

	<p>hospitality, honoraria and sponsorship. Declaring any conflicts or interests are required to be recorded via the Electronic Staff Record (ESR) system. All new staff who have joined the health board and yet have access to the ESR system, would be able to access an online form for onward submission to the Corporate Governance Team. The online form is available via the Corporate Governance SharePoint Page via the link below: https://forms.office.com/r/Na61Qjr3YJ</p> <p>The policy also aims to capture public acceptability of behaviours of those working in the public sector in order that the health board can be seen to have exemplary practice in this regard.</p> <p>The purpose of this policy is to set out the organisation’s expectations in relation to the standards of conduct expected of all employees and Independent Members and to provide guidance in order that all are supported in delivering these.</p>
2.2	Objectives <p>The objective of this policy is to clarify the relative responsibilities of employees and Independent Members in the discharging of this policy and adhering to the Standards of Behaviour Framework.</p> <p>The policy is designed to assist the health board and its employees and Independent Members in maintaining ethical standards in the conduct of NHS business. It sets out the principles the health board expects all employees to uphold, and the steps that the health board as an employer will take to safeguard the Organisation where conflicts of interest arise.</p> <p>A conflict of interest can be defined as ‘A set of circumstances by which a reasonable person would consider that an individual’s ability to apply judgement or act, in the context of delivering, commissioning, or assuring taxpayer funded health and care services is, or could be, impaired or influenced by another interest they hold.’</p> <p>A conflict of interest may be:</p> <ul style="list-style-type: none">• actual - a material conflict between one or more interests• potential/perceived – the possibility of a material conflict between one or more interests in the future <p>All employees are expected to be familiar with the content of this policy, and line managers have a responsibility for bringing the policy to the attention of their staff.</p>
3	Definitions <ul style="list-style-type: none">• PTHB – Powys Teaching Health Board

	<ul style="list-style-type: none"> • Staff/Employees - This policy is applicable across the whole of the health board. It applies to all employees and Independent Members. The term 'employees' or 'staff' includes all those who have a contract of employment or honorary contract (including volunteers) with the health board, and bank workers. The policy also applies to trustees of the health board's Charitable Funds.
<h4>4 Responsibilities</h4>	
<p>4.1</p>	<p>Chair The Chair has the responsibility for performance managing the Independent Members of the health board through the annual individual performance review process on behalf of the Minister for Health and Social Services and has the responsibility for holding the Chief Executive to account.</p>
<p>4.2</p>	<p>Chief Executive The Chief Executive is the 'Accountable Officer' with overall responsibility for ensuring that the health board operates efficiently, economically and with probity. The Chief Executive will ensure a policy framework is set and that arrangements are in place to support the delivery of that framework.</p>
<p>4.3</p>	<p>Director of Corporate Governance/Board Secretary The Board Secretary has delegated responsibility for ensuring that the health board is provided with competent advice and support regarding the contents and application of this policy and the Standards of Behaviour Framework.</p> <p>The Board Secretary will ensure that:</p> <ul style="list-style-type: none"> • A Register of Interests is established and maintained as a formal record of interests declared by all Board and Independent Members, Deputy and Assistant Directors, Consultants and staff members with budget oversight and/or significant influence on commissioning arrangements. • The Register will include details of directorships, pecuniary (financial) and non-pecuniary interests in organisations that may have dealings with the NHS, and membership of professional committees and third sector bodies. Where relevant, it will also include details of interests of close family members (spouse, partner, civil partner, children, etc.). • Arrangements are in place to prompt all employees and Independent Members to declare their interests on initial employment with the health board, and at periodic intervals thereafter (It is the individual employee's or Independent Member's responsibility to make a declaration should their circumstances change within these timescales). • Scrutiny is applied to the declarations received to ensure appropriate declarations and acceptances have been made in compliance with the Standards of Behaviour Policy.

	<ul style="list-style-type: none"> • A Register of Gifts, Hospitality, Honoraria and Sponsorship, whether accepted or declined, is maintained. • The Registers of Interests and Gifts, Hospitality, Honoraria and Sponsorship are published on the health board’s internet site in accordance with the requirements of the organisation’s Freedom of Information Act Publication Scheme. • Reports detailing the content of the Registers of Interests and Gifts, Hospitality, Honoraria and Sponsorship, and the effectiveness and adequacy of the arrangements in place, are provided to the Audit, Risk and Assurance Committee on an annual basis. • The process that employees and Independent Members should follow when making a declaration of interest is attached at Appendix A. When advising of gifts, hospitality, honoraria or sponsorship is accepted or declined, employees and Independent Member should complete the declaration form at Appendix C
<p>4.4</p>	<p>Executive and Assistant Directors Executive and Assistant Directors must ensure that:</p> <ul style="list-style-type: none"> • Employees are aware of the requirements contained within this policy and the Standards of Behaviour Framework. • They lead by example and ensure that they personally declare any relevant interest or the offer of gifts, hospitality, honoraria or sponsorship. • Approve, or decline the acceptance of gifts, hospitality, honoraria and sponsorship that have been offered within their Directorate/Service prior to the event (and during periods of annual leave and prolonged absence, ensure that their responsibilities are delegated to their nominated deputy). • They review the contents of the Registers of Interests and Gifts, Hospitality, Honoraria and Sponsorship to assist with the verification of the accuracy of the information contained within it when alerted to do so by the Head of Corporate Governance on behalf of the Board Secretary. • They ensure any acceptances of gifts, hospitality, honoraria or sponsorship complies with the standards outlined within this policy.
<p>4.5</p>	<p>Departmental/Line Managers Departmental/Line Managers will:</p> <ul style="list-style-type: none"> • Ensure that this policy and the Standards of Behaviour Framework is brought to the attention of employees for whom they are responsible, and that they are aware of its implications for their work. • Actively seek declarations at regular intervals in respect of interests, secondary employment and gifts/hospitality from employees. This would include using opportunities such as discussions at Performance Appraisal Development Reviews,

	<p>Consultant Appraisals and as part of the Consultant Job Plan Reviews, as appropriate.</p> <ul style="list-style-type: none">• Support their employees in the application of the policy and the Standards of Behaviour Framework, seeking advice from the Corporate Governance Manager or Board Secretary, where necessary.
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4.6 Employees and Independent Members

All employees and Independent Members must ensure that they:

- Understand this policy and the Standards of Behaviour Framework, consulting their line manager if they require clarification.
- Are not in a position where their private interests and NHS duties may conflict. Employees and Independent Members must declare all private interests that could potentially result in personal gain because of their position within the health board.
- 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; or if asked to do so at periodic intervals by the health board. Relevant interests (including those of close family members or associates) may include:
 - Directorships, including Non-Executive Directorships held in private companies or Public Limited Companies (PLCs), with the exception of dormant companies;
 - Ownership or part-ownership, of private companies, businesses or consultancies likely or possibly seeking to do business with the health board. This includes shareholdings, debentures or rights where the total nominal value is £50,000 or one hundredth of the total nominal value of the issued share capital of the company or body, whichever is the less;
 - Sponsorship or funding from a known NHS supplier or associated company/subsidiary;
 - A position of authority in a charity or voluntary body in the field of health and social care;
 - Any other connection with a voluntary, statutory, charitable or private body that could create a potential opportunity for conflicting interests;
 - Self-employment or employment by any other body. This includes the undertaking of agency working and private practice.
 - Research funding / grants that may be received by an individual or their department.
 - Any existing or new personal relationships which involve a professional colleague and which may give rise to an actual or potential conflict of interest, misuse of power or unfair bias.
- Inform service users and their relatives as appropriate, when referring them for treatment, investigation, or any aspect of their care if they have a material interest in an organisation to which they plan to refer a service user. The fact that the service user has been informed must be recorded appropriately.

	<ul style="list-style-type: none">• Verbally declare any relevant interest when a potential for conflict arises e.g. at Board and Committee meetings, during procurement processes, and at other the health board / Directorate / Departmental meetings, as appropriate.• Obtain permission from their Director / Assistant Director prior to accepting a gift, hospitality, honoraria or sponsorship which requires declaring and recording in the Register of Gifts, Hospitality, Honoraria and Sponsorship.• Observe the Standing Orders, Standing Financial Instructions and procurement policies and procedures of the health board.• Where employees or Independent Members wish to engage in any outside employment, they must first discuss it with their Departmental/Line Manager. This will ensure that their position in the health board is not compromised. Agreement to such outside employment will not be unreasonably refused. <p>The onus regarding declaration will reside with the individual employee or Independent Member. It is recognised that a judgement may be required in individual circumstances regarding the appropriateness for a declaration to be made when, for example, there is a specific contractual situation, a set of circumstances, or series of specific circumstances or a close connection. Advice should be sought from the Head of Corporate Governance or the Board Secretary in this regard as such an interest may be deemed to be a potential conflict to the business of the health board. Where there is doubt, a declaration of interest should be made.</p> <p>It is also important that all volunteers adhere to health board policies and procedures, and this Standards of Behaviour policy is consistent with the Wales Council for Voluntary Action Code of Practice for organisations involving volunteers, available via the following link: Wales Council for Voluntary Action and Volunteering Wales: Code of Practice. Further information regarding Declarations of Interest for Volunteers has been integrated within the Volunteering Policy.</p>
4.7	Procurement Department <p>If an Employee is requested to participate in the procurement process, they will be asked to reaffirm their interests and to confirm that there are no other relevant interests that should be declared. If they have not previously made a Declaration via the Electronic Staff Record (ESR) System, they will be asked to do so before participating in the procurement process.</p> <p>The Procurement Lead will scrutinise such individual Declarations of Interest to ensure that there is no opportunity for any conflicts of interest.</p>

The NHS Wales Shared Services Partnership (NWSSP) will ensure that all procurement staff declare any Interests in line with their procedures. NWSSP will advise the health board, through the Head of Corporate Governance or the Board Secretary, of any such interests affecting health board services.

Whilst individual staff must not seek or accept preferential rates or benefits in kind for private transactions carried out with which they have, or may have, official dealings with on behalf of the health board, this does not apply to concessionary agreements negotiated with companies by NHS management, or by recognised staff interests on behalf of all staff, for example, NHS staff benefits schemes.

All staff in contact with suppliers and contractors, particularly if authorised to sign purchase orders or place contracts for goods, materials or services, shall adhere to accepted professional standards i.e. the NHS Wales Shared Services Partnership Procurement Policy and the Standing Orders and Standing Financial Instructions of the health board.

Contracts may be awarded to such businesses where they are won in fair competition against other tenderers, but care must be taken to ensure that the selection process is conducted impartially, and that staff who are known to have a relevant interest play no part in the selection.

5 Register of Interests

The Corporate Governance Business Officer, on behalf of the Board Secretary, will maintain the Register of Interests. This [register](#) will be made available on PTHB's internet site.

A copy of the register will be retained by the Corporate Governance Department.

6 Declarations of Interests at Meetings

It is a requirement that at the beginning of every PTHB Board, Committee or decision-making meeting, members and those in attendance are invited to declare their interests in relation to any items on the agenda. Where a potential conflict is material or the individual has a financial/pecuniary interest in the matter under discussion, the individual shall withdraw from discussions pertaining to that agenda item and shall not vote upon it. Where necessary, at the discretion of the Chair, the individual may be asked to withdraw from the meeting itself until all business relating to the matter(s) in which they have declared an interest is concluded. The potential conflict and the action taken to avoid it will be recorded in the minutes of the meeting and the Register of Interests will be updated if required.

Where it becomes evident part way through a meeting that there may be a potential conflict, the individual must declare their interest immediately.

Under certain circumstances, the Chair may choose to waive the need for the individual to leave the meeting. The advice of the Director of Corporate Governance/Board Secretary or the a member of the Corporate Governance team should always be sought prior to such a decision being made.

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

7 Gifts and Hospitality, Honoraria and Sponsorship

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

Employees should seek approval from their Executive/Assistant Director, prior to accepting any gifts, hospitality, honoraria or sponsorship. These details must be recorded on a Gifts, Hospitality, Honoraria and Sponsorship Form (Appendix C) and submitted to [powysdirector@corporategovernance@wales.nhs.uk](mailto:powysdirector@corporategovernance.wales.nhs.uk) for inclusion on the register.

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

- **Openness:** It has been openly offered and the offer will not be construed as any form of inducement and will not put the individual under any obligation to those offering it;
- **Legitimate interest:** Regard should be paid to the reason for the contact on both sides and whether it is a contact that is likely to benefit the health board i.e. further the aims of the Organisation;
- **Relationship:** Consideration should be given as to whether the health board is likely to enter into a contractual relationship with the organisation / individual making the offer;
- **Value:** Gifts and benefits of a trivial or inexpensive seasonal nature, e.g. diaries/ calendars, are more likely to be acceptable and can be distinguished from offers that are more substantial. Similarly, hospitality in the form of a working lunch would not be treated in the same way as more expensive social functions, travel or accommodation;

- **Frequency:** Acceptance of frequent or regular invitations particularly from the same source would breach the required standards of conduct;
- **Reputation:** If the body concerned is known to be under investigation by, or has been publicly criticised by, a public body, regulators or inspectors, acceptance of a gift or hospitality might be seen as supporting the body or affecting in some way the investigation or negotiations. As such, it should always be declined.

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

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

Bribery has the potential to impact upon an employees' or Independent Members' standard of behaviour, particularly in regard to the acceptance of gifts, hospitality, honoraria or sponsorship, although guidance on the Act indicates that only 'lavish' hospitality, or hospitality that is otherwise 'inappropriate' would normally fall under the bribery definition.

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

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

Employees and Independent Members are therefore expected to:

- Report any issues relating to fraud, bribery or corruption to the Local Counter Fraud Specialist within the health board ;
- Declare any external interest which may result in the employee or persons known to the employee gaining direct or indirect financial advantage as a consequence of their work, which could influence any

decisions made by the employee, or which could interfere with contractual obligations to the organisation;

- Ensure the interests of patients are paramount and that use or management of any public funds ensures value for money;
- Check each payslip as soon as possible following receipt to ensure that the amount paid is correct, with any queries raised with the line manager. If the employee believes that they have been overpaid, they must declare it immediately. Where employees do not understand their payslip, they should contact the Payroll Department.

The risks of breaching the Bribery Act include the following:

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

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

7.1 Gifts

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

It is unacceptable to accept any money, gift or consideration as an inducement or reward from a person or organisation holding or seeking to hold a contract with the health board. Such gifts should be refused and if they have already been received, they should be returned clearly advising why they cannot be accepted.

The appropriate Executive/Assistant Director and the Head of Corporate Governance, on behalf of the Board Secretary, should be advised immediately.

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

	<p>N.B. This Standards of Behaviour Policy excludes gifts between members of staff, for example birthday presents or leaving gifts.</p>
<p>7.2</p>	<p>Gifts from service Users or their Relatives</p> <p>Personal gifts from service users or their relatives are not acceptable. These may only be accepted as a donation to an appropriate Charitable Fund and recorded as such. PTHB’s Head of Financial Services can provide advice regarding the mechanism for appropriately receipting such items in accordance with the Institute of Fundraising Code. All gifts should be declared to the Corporate Governance Department should they be accepted or declined.</p> <p>A commonsense approach should be applied to the valuing of gifts using an actual amount if known, or an estimate that any reasonable person would make as to its value. Where gifts are provided to a group of staff, it is the responsibility of the Line Manager to declare the gift to the Corporate Governance Team if over the value of £25.</p>
<p>7.3</p>	<p>Gifts from Suppliers, Contractors and Commercial Organisations</p> <p>Low cost, branded or promotional gifts may be accepted where they are under the value of the common industry standard of £6 in total (selected with reference to existing industry guidance issued by the ABPI) and need not be declared. Any gifts outside this definition from suppliers, contractors and other commercial organisations doing business or likely to do business with the health board above this value, should be politely but firmly declined.</p> <p>Under some circumstances, suppliers may send gifts to all of its clients as custom and practice e.g. hampers at Christmas or chocolates at Easter. Whilst such practices should be discouraged and whilst it is not acceptable for staff to personally accept these gifts, following discussion with the supplier / contractor / commercial organisation and the appropriate Executive / Assistant Director, it may be considered appropriate to accept the gift and utilize it for the benefit of Charitable Funds. The health board’s Head of Financial Services can provide advice regarding the mechanism for appropriately receipting such items.</p> <p>Employees in contact with contractors should be on their guard against offers of gifts that might later be misconstrued as hampering their strict independence and impartiality. Where pressed to accept an offer, the employee to whom the offer has been made should seek further advice from their manager who may contact the Corporate Governance Manager or Board Secretary, where appropriate.</p>
<p>7.4</p>	<p>Gifts from Dignitaries/Overseas Organisations</p> <p>There may be occasions when visits are made by dignitaries or overseas organisations who consider it ‘culturally custom and practice’ to</p>

	<p>exchange gifts. In such cases, employees should seek guidance from the Corporate Governance Manager or Board Secretary and declare these gifts on a Gifts, Hospitality, Honoraria and Sponsorship Form. A decision will then jointly be made as to the most appropriate way to manage the gift. This will depend on the nature of the 'gift culture' and may include decisions to 'keep and display in public', 'donate to an internal user group', 'auction for charity', etc.</p>
7.5	<p>Bequests/Legacies/Wills</p> <p>Employees are not permitted to accept bequests left to them by a deceased patient who became known to them through providing care or treatment as part of their health board employment. Accepting a gift of this nature, particularly where a patient is considered vulnerable, could leave the staff member open to accusations of financial abuse, fraud (by abuse of position) or misconduct. If an employee is made aware that they may be a beneficiary in a patient's will, they must declare this, with any complex cases escalated to the Corporate Governance Manager or the Board Secretary.</p>
<p>8 Hospitality</p> <p>Hospitality is where there is an offer of food, drink, accommodation, entertainment or entry into an event or function by a third party, regardless of whether provided during or outside normal working hours e.g. attendance at an awards ceremony, cheque presentations in respect of fundraising events, or tickets/seats for a show or sporting event.</p> <p>Employees and Independent Members should refuse hospitality which may compromise or may be seen to compromise their professional judgement or integrity, or which seeks to exert influence to obtain a preferential consideration.</p> <p>Employees in contact with contractors should be particularly mindful of accepting any offer of hospitality that might later be misconstrued as influencing strict independence and impartiality. Where pressed to accept an offer, the employee to whom the offer has been made should seek further advice from their manager who may contact the Corporate Governance Manager or Board Secretary, where appropriate.</p> <p><i>Any acceptance of hospitality needs to be justified. Think about the context in which the offer has been made, and the effect on your position. For example, is the hospitality likely, or could it be seen as likely, to influence you? The onus is on you to make sure that the acceptance of hospitality will not be misconstrued.</i></p> <p>Hospitality must be authorised by an Executive/Assistant Director prior to their acceptance and a Gifts, Hospitality, Sponsorship and Honoraria form must be completed. The hospitality should be proportionate i.e. it should not be of</p>	

significant value and only the minimum number of members of staff to achieve the purpose of representing the organisation should attend.

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

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

8.1 Acceptable Hospitality

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

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

Other hospitality may be accepted where it furthers the aims of the health board, provided it is normal and reasonable in the circumstances, for example lunches in the course of working visits. All gifts of hospitality should be declared to the Corporate Governance department.

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

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

	<ul style="list-style-type: none">• An employee is invited to a Society or Institute dinner or function which is to be funded by a commercial organisation and where there is a genuine benefit to the professional standing of the individual or the health board.• An event is clearly part of the life of the stakeholder community or where the organisation should be seen to be represented;• A function or event is hosted for both staff and non-staff, which adds benefit and value to the health board or the wider NHS;• A function or event is hosted externally for staff only for the purposes of training or organisational development. <p>These types of hospitality must be authorised prior to their acceptance by an Executive or Assistant Director and a Gifts, Hospitality, Honoraria and Sponsorship Form must be completed. The hospitality should be proportionate i.e. it should not be of significant value and only the minimum number of employees to achieve the purpose of representing the health board should attend.</p>
8.2	Unacceptable Hospitality Unacceptable hospitality includes the following examples as general guidance: <ul style="list-style-type: none">• A holiday or weekend/overnight break;• Offers of hotel accommodation when this is not associated with a sponsored course or conference (see below);• Use of a company flat or hotel suite;• Attendance at a function or event restricted to employees which is not for the purposes of training or organisational development;• Lunch or dinner provided by a private company or their representative which does not form part of a training or development event;• Entertainment and/or tickets/hospitality at sporting and other corporate entertainment events. <p>If employees are not clear whether an offer falls into one of these categories, advice should be sought from their line manager or the Head of Corporate Governance or Board Secretary.</p> <p>Employees should report any case where they have felt pressured into accepting an offer of hospitality that might be open to objection. They should also declare on the appropriate form any offers of hospitality that are declined.</p>
9 Sponsorship Sponsorship is an offer of funding to an individual, team or to the health board from an external source, whether in cash, goods, services or benefits.	

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

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

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

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

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

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

9.1	<p>Commercial Sponsorship for Attendance at Courses/Conferences</p> <p>Employees may accept sponsorship for attendance at relevant conferences and courses, but only where attendance would further the aims of the health board and where the employee has obtained permission in advance from their Executive or Assistant Director and in line with the health board’s Study Leave Policy. The sponsorship should only be extended to the number of employees who would have normally attended if funded by the health board. The employee and the Executive or Assistant Director must be satisfied that acceptance will not compromise purchasing or any future decision-making in any way.</p>
9.2	<p>Commercial Sponsorship to attend Demonstrations/Technical Evaluations</p>

	<p>Employees may be invited to view products or equipment at another location. There may be occasions, in-line with procurement standards, when it is appropriate as part of a procurement exercise to visit a suppliers' reference site to observe equipment in operation in a medical or laboratory setting. Such sponsorship is not usually considered appropriate, and the health board will normally meet the costs of such a visit to protect the integrity of subsequent purchasing decisions. The appropriate Executive or Assistant Director following consideration of the implications for the integrity of subsequent purchasing decisions must approve arrangements whereby the company meets all or part of the cost of such a visit.</p>
9.3	<p>Commercial Sponsorship – ‘Linked Deals’</p> <p>Pharmaceutical companies and other suppliers may offer to sponsor, wholly or partially, a post or equipment for the health board. PTHB will not enter into such arrangements, unless it has been made clear to the company concerned that the sponsorship will have no effect on purchasing decisions within the health board.</p> <p>Linked deals must be approved and managed within an agreed process in order that appropriate monitoring arrangements are established to ensure that purchasing decisions are not being influenced by the sponsorship agreement. Under no circumstances may ‘linked deals’ be agreed, whereby sponsorship is linked to the purchase of particular products, or to supplies from particular sources.</p> <p>Sponsored posts are posts that are funded, in whole or in part, by organisations external to the NHS. Sponsored posts can offer benefits to the delivery of care, providing expertise, extra capacity and capability that might not otherwise exist if funding was required to be used from the NHS budget. However, safeguards are required to ensure that the deployment of sponsored posts does not cause a conflict of interest between the aims of the sponsor and the aims of the organisation, particularly in relation to procurement and competition.</p> <p>The following should be considered when sponsored posts are offered:</p> <ul style="list-style-type: none">• External sponsorship of a post requires prior approval from the relevant Executive or Assistant Director.• Rolling sponsorship of posts should be avoided unless appropriate checks are put in place to review and withdraw if appropriate.• Sponsorship of a post should only happen where there is written confirmation that the arrangements will have no effect on purchasing decisions or prescribing and dispensing habits. This should be audited for the duration of the sponsorship. Written agreements should detail the circumstances under which organisations have the ability to exit sponsorship arrangements should conflicts of interest that cannot be managed arise.

	<ul style="list-style-type: none">• Sponsored post holders must not promote or favour the sponsor’s products, and information about alternative products and suppliers should be provided.• Sponsors should not have any undue influence over the duties of the post or have any preferential access to services, materials or intellectual property relating to or developed in connection with the sponsored posts. <p>The relevant Executive or Assistant Director should declare any posts sponsored by external organisations on a Gifts, Hospitality, Sponsorship and Honoraria form and submit it to powysdirector@wales.nhs.uk on behalf of the Board Secretary for recording on the register.</p>
9.4	Sponsorship of Events in the Context of Partnership Arrangements with the Pharmaceutical Industry or other Commercial Organisations <p>The pharmaceutical industry and allied commercial sector representatives may organise meetings, conferences, or an activity in support of specific functions or specialties within the healthcare sector. Under such arrangements, they are permitted to fund the hiring of accommodation, meet any reasonable actual costs that may have been incurred and to provide appropriate hospitality. If no hospitality is required, there is no obligation or right to provide it, or indeed any benefit of equivalent value.</p> <p>The Pharmaceutical Industry is expected to adhere to the ABPI Code of Practice for the Pharmaceutical Industry which clearly specifies what is and what is not acceptable; this is available via the following link: ABPI 2024 Code of Practice</p> <p>An example of hospitality that would not be acceptable under these circumstances is where a company takes the attendees, on the conclusion of a course, for a meal in a restaurant.</p> <p>Where the health board receives or invites offers of sponsorship for events that are hosted wholly or partly by the health board, the relevant Executive or Assistant Director must consider whether it is appropriate to accept the offer. For all offers, whether accepted or declined, a Gifts, Hospitality, Sponsorship and Honoraria form must be completed and sent to: powysdirector@wales.nhs.uk on behalf of the Board Secretary for recording on the register.</p> <p>The following guiding principles should apply:</p>

- Sponsorship of events by appropriate external bodies will only be approved if a reasonable person would conclude that the event will result in clear benefit for the health board and the NHS.
- During dealings with sponsors, there must be no breach of patient or individual confidentiality or data protection rules and legislation.
- No information should be supplied to the sponsor from whom they could gain a commercial advantage, and information that is not in the public domain should not normally be supplied.
- At the organisation's discretion, sponsors or their representatives may attend or take part in the event but they should not have a dominant influence over the content or the main purpose of the event.
- The involvement of a sponsor in an event should always be clearly identified.
- Members of staff within the organisation involved in securing sponsorship of events should make it clear that sponsorship does not equate to endorsement of a company or its products and this should be made visibly clear on any promotional or other materials relating to the event.
- Members of staff arranging sponsored events must declare this to the organisation.

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

- Sponsorship should be sought in an open and even-handed manner with opportunities being offered as widely as possible;
- Benefits should be for the health board (not an individual) and should be proportionate;
- Arrangements must not compromise the standing or image of the health board ;
- Sponsorship should be for a specific activity or event and not a general endorsement of the health board ;
- The sponsorship must not imply the health board endorses particular products, services or companies and organisations;
- Sponsorship should not be accepted from inappropriate sources, such as companies with dubious or doubtful backgrounds or who have poor financial or business practices;
- Any arrangements that could bring adverse publicity to the event or the health board.

Particular care should be taken when considering sponsorship from companies or organisation for which the health board has, or could

	<p>have, contractual business arrangements. The above principles should be adhered to and a renewal or an award of a contract should not be influenced by any sponsorship arrangements.</p> <p>A sponsor would normally expect to receive a reciprocal benefit that may be beyond a modest acknowledgement, and companies may seek sponsorship for a number of legitimate business reasons. These include:</p> <ul style="list-style-type: none">• To raise the company's image and profile;• To improve public / community relations;• To generate public exposure and media coverage;• To differentiate the company from its competitors;• To increase profit/market share. <p>Careful consideration should always be given to understanding what a sponsor might gain from the arrangement and these should be in keeping with the principles listed above.</p> <p>Employees and Independent Members may, on occasion, be asked to provide an endorsement of an event, conference or training course that they have attended which was organised by a third party. Caution should be exercised in these circumstances, as it may not be appropriate to cite such an endorsement. It is also important to consider any potential future conflict for example, where the third party may be in the process of re-tendering for the work or be seeking commercial gain from the endorsement.</p> <p>The health board may also receive unsolicited proposals for sponsorship that are not in response to any action that the health board has taken. The health board should carefully consider such offers and ensure that the proposal meets the health board's requirements, standards and principals. The health board will need to ensure there are no conflicts of interest or that better value for money cannot be obtained by testing wider market interest.</p> <p>All sponsorship arrangements should be approved by the appropriate Director or Assistant Director.</p>
9.5	Honoraria/Miscellaneous Payments An honorarium is an ex-gratia payment i.e. one which would not usually be expected to be provided. Employees may be invited to give presentations at conferences, provide responses to surveys or attend professional meetings where a one-off payment or honoraria is offered. If this activity is to be undertaken during hours when the employee is contracted to work for the health

board, the payment should be made to the health board. Individuals may accept payment for activities that they undertake in their own time, subject to the provisions regarding outside employment contained within the various employee Contracts and Terms of Service.

No payment or honoraria should be accepted without the prior agreement of the appropriate Executive or Assistant Director. A Gifts, Hospitality, Honoraria and Sponsorship Form should be completed prior to the acceptance of any payment/honoraria.

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

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

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

To avoid personal tax implications, the employee is strongly advised to request the honoraria is paid directly to the health board. This is then seen as reimbursement to the health board to cover the loss of employee time, and not honoraria. This money will then be transferred into the health board's revenue budget. The employee who has undertaken the work must **not** be the budget holder for the budget receiving the funds in lieu of the honorarium to avoid any conflict of interest.

Where the employee receives the honoraria directly and then reimburses the health board, the employee remains liable for the payment of both tax and National Insurance Contributions (NIC), regardless of the final destination of the honoraria.

- **Honoraria received for work undertaken in an individual's own time (out of normal working hours or on authorised annual leave)** - individuals are personally liable for the payment of both tax and NICs on any honoraria payments received for work undertaken in their own time.

Where an employee wishes, a donation may be made to the health board's Charitable Funds in lieu of an honorarium. This must be received into the Charity's general fund. It is then for the Charity's

trustees to determine how the donated funds should be used, with the principle being that the employee giving their own time should have no influence over how the donation is then used, to lessen the risk of this being interpreted as being of any benefit to them as 'income' in any sense.

In cases of doubt, employees should seek advice from the Head of Corporate Governance or the Board Secretary and should report any case where an offer of sponsorship or honoraria is pressed which might be open to objection. Instances where honoraria has been offered and declined should be declared on the Gifts, Hospitality, Honoraria and Sponsorship Declaration Form.

10 Use of the PTHB Logo

Permission needs to be obtained from the Director of Corporate Governance/Board Secretary or the Assistant Director of Communications and Engagement on all occasions where approaches are made by an outside organisation seeking to use the health board's logo in connection with an event or function. Any member of staff wishing to use the logo in connection with any non-health board related matter / event should also seek permission.

11 Research and Development

All research and development sponsored by commercial companies, including those sponsored by the pharmaceutical industry, must be approved by the appropriate mechanism, and governed by the specific policies and procedures. The Research and Development Department should be contacted in these circumstances to offer advice and support in this area.

12 Charitable Funds

There may be occasions when commercial organisations offer to pay monies into Charitable Funds as a way of funding attendances at courses or conferences. Monies paid into charitable funds from commercial companies must only be accepted as donations or for sponsorship. Where sponsorship is received, it should only be used to fund expenditure that is in line with the terms of the charitable fund's use. Such sponsorship should be declared on the Gifts, Hospitality, Honoraria and Sponsorship Form.

Expenditure from Charitable Funds and charitable fundraising within the workplace does not fall within the remit of this policy; however, there may be a close association. Further guidance is available from the health board's Head of Financial Services.

13 Secondary Employment and Private Practice

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

	<p>PTHB's Secondary Employment Policy provides a framework for all employees who wish to undertake work for another employer alongside their PTHB role.</p> <p>Employees should inform their line manager of any secondary employment (this includes paid, unpaid or self-employment) and ensure that this does not affect their health board employment. Declarations should be made via the Electronic Staff Record (ESR) system. There should be no conflict with their normal contractual employment obligations to the health board, and such work should not involve the use of any confidential or commercial information obtained in the course of their employment with the health board.</p> <p>Failure to notify their line manager of secondary employment and/or private practice will invoke the health board's Disciplinary Policy.</p> <p>Where employees have or are contemplating other employment, they must ensure this does not compromise their availability or physical or mental fitness to carry out their duties as an employee of the health board. Employees must also ensure this does not place them in a position where their judgement or actions might be influenced by considerations arising from their other employment.</p> <p>Employees have a responsibility to ensure that their line manager is made aware of any hours worked in order that the health board fulfils its statutory requirement of the Working Time Directive; this is available via the following link. http://www.hse.gov.uk/contact/faqs/workingtimedirective.htm</p> <p>An employee, absent because of sickness, is regarded as unfit to work and should not undertake any paid or unpaid work in any capacity (including self-employment) during a period of sickness absence from the organisation, unless it is deemed jointly by their manager and the Occupational Health Department to be therapeutically beneficial to their recovery. The manager in advance in all such cases must grant express written permission.</p> <p>An employee found to be undertaking other work during sickness absence without the prior written consent of the manager may be considered in breach of contract and will be subject to disciplinary action that may result in the involvement of the Counter Fraud Department, the possibility of criminal investigation and/or dismissal. Such action will only be taken following advice from the Workforce & Organisational Development Department.</p>
13.2	Private Practice

There are codes of practice in place relating to private patient practice that clearly include the fact that private practice should not adversely affect NHS duties.

Failure to notify their line manager of secondary employment and/or private practice will invoke the health board's Disciplinary Policy.

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

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

Employees should:

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

14 Managing Personal Relationships

A personal relationship includes a business/commercial or financial relationship, as well as any relationship where a close family relationship exists, for example, including mother, father, daughter, son, sister, brother (and including step and in-laws) partner, ex-partner (including spouse or cohabiter), civil partner. This definition is not exhaustive and therefore anyone who considers that they may be in a potential conflict of interest situation should declare it. The scope of the term "personal relationship" also applies to prospective staff that have a relationship with a current member of PTHB's staff, or where a relationship starts during employment with PTHB.

Situations where a personal relationship may expose staff to conflict of interest or bias include, but are not restricted to, the following:

- Perceived or alleged breaches of probity (understanding the limits of authority and acting within those limits)
- Unfair advantage/favouritism
- Breach of confidence/confidentiality
- Harassment or bullying
- Employee relations issues

- Conflict of interest
- Any other issues perceived to be gained from the overlap of a personal and professional relationship.

In order to maintain the Health Board's integrity and reputation, it is necessary to acknowledge when personal and professional relationships overlap. It is recognised that there will be some relationships that may require an employee to withdraw from certain decisions or from undertaking certain duties to protect themselves and the Health Board from any conflict of interest, misuse of power or unfair bias. This applies to all members of the Health Board community including, but not exclusive to employees, Independent Board members, bank workers, agency workers, contractors and any third party engaged to work at the Health Board, including students on work placements, apprentices and volunteers.

- If employees have a professional or working relationship with someone that they consider having a personal relationship with, they must ensure that their relationship with the individual does not impact, or appear to impact, the ability to perform their role. Where a personal relationship exists or develops between employees who are in a line management or supervisory relationship at work, they must avoid participating in decisions that might raise the appearance of a conflict such as recruitment and selection, allocation of funding, appraisal, disciplinary matters, sign off of expenses or in any other management activity or process involving the other party.
- Employees must declare any existing or new personal relationships they have which involves a professional colleague and which may give rise to an actual or potential conflict of interest, misuse of power or unfair bias. If the employee is unsure whether or not the personal relationship could give rise to an actual or potential conflict of interest, misuse of power or unfair bias situation, the employee should contact Workforce and OD in the first instance for advice and guidance.
- If employees undertake a role of Investigating Officer or Hearing Officer under Disciplinary Policy, Grievance Policy, Dignity at Work Policy and Safeguarding Procedure they should disclose that to a Workforce and OD representative.
- Any breaches to the disclosure of the personal relationship may result in disciplinary action being taken against the employee. Any behaviour that is considered inappropriate (i.e., evidence of unfair bias/personal conflicts brought into the workplace) will be investigated under the All Wales Disciplinary Policy.

15 Rewards for Initiative

Potential intellectual property rights (IPR) should be identified, as and when they arise, in order to protect and ensure that the health board receives any rewards or benefits (such as royalties) in respect of work commissioned from third parties, or work carried out by its employees in the course of their duties. The Intellectual Property Policy can be accessed here: [Intellectual Property Policy](#)

Most intellectual property is protected by statute e.g., patents are protected under the Patents Act 1977, and copyright (which includes software programmes) under the Copyright Designs and Patents Act 1988. Appropriate specifications and provisions should be built into contractual arrangements before they are entered into, before work is commissioned, or begins. Legal advice or advice provided via the Research & Development Department should be sought if in doubt in any specific cases.

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

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

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

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

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

Employees are responsible for:

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

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

16 Social Networking Sites

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

The All Wales Social Media Policy sets out employees' responsibilities when using social media, and the implications involved.

The health board acknowledges that everyone has a right to express himself or herself using social media, but also recognises its role in offering advice on the safe use of social media and highlighting the responsibility of employees to be aware of the potential consequences of posting content on to publicly accessible platforms. There are risks to the individual and to the organisation if boundaries between an individual's private and professional life are blurred on social media, and it is important that employees are mindful of this, understand their role as ambassadors for the health board, and are conscious of the impact of their actions and words online, which may negatively affect the reputation and trust of the public.

The relationship with social media changes as soon as employees identify themselves or are identified as employees of NHS Wales or the health board. In these circumstances, they must make it clear that any views and opinions are personal and not necessarily those of the health board.

The health board reserves the right to monitor and log comments and references on social media sites, including those made by its employees, relating to itself, its employees, its services and the patients in its care as part

of our wider duties to protect patients, staff and the organisation as a whole in line with relevant information governance requirements.

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

17 Time Keeping

The time of employees is a health board resource in the same way as the buildings and equipment. The health board spends a significant amount of its funding on salaries and wages; therefore it is essential that it receive the full value for this expenditure. Where an employee is occasionally late for work or may have to leave early, this does not necessarily present an issue provided it is discussed with the line manager concerned. What is not acceptable is where the employee falsifies time records to disguise absence or to claim attendance. Such action may constitute fraud and will be dealt with in line with the Health Board's Disciplinary Policy and Counter Fraud Policy and Response Plan.

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

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

18 Election Campaigns

All PTHB staff and Independent Members should take account of guidance for the pre-election period for UK Government, Welsh Government and Local Authority.

The general principles that should be observed during the period of elections are that, as at other times, NHS staff should not engage in activities which could give rise to the criticism that individuals paid from public funds are being used for party political purposes, or which distract attention unduly to election campaigns. These principles apply to the NHS at all times, but particular note should be taken in the period between the start of formal campaigns and polling day.

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

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

Employees of PTHB or Independent Members standing for election as Senedd Members, Members of the UK Parliament or members of a Local Authority should notify their line manager and the Director of Corporate Governance so that appropriate advice and support can be provided, including in relation to contractual arrangements if elected.

Further advice on standards of behaviour during pre-election periods is available from the Director of Corporate Governance.

A full copy of Welsh Government's most recent guidance document on conduct during election campaigns (Welsh Health Circular 2016/002) is available via the following link: <https://gov.wales/uk-general-election-2019-guidance-welsh-government-officials-whc2019035>

19 Failure to adhere to Standards of Behaviour Policy

If any employee or Independent Member fails to declare an interest or gift, hospitality, honoraria or sponsorship as defined within this policy or the Standards of Behaviour Framework, and then participates in a decision-making process where special favour is shown to unfairly award a contract; or abuses their official position or knowledge for the purpose of benefit to themselves or their family or friends' disciplinary action may follow. The action taken will depend on the individual circumstances and will be in accordance with the health board's Disciplinary Policy. Under some circumstances, failure to follow this policy could be considered gross misconduct.

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

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

Failure to declare a relevant interest by an Independent Member of the health board will be reported by the Chairman to the Minister for Health and Social Services.

20 Equality

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

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

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

21 Resources

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

22 Training

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

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

23 Implementation

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

To ensure that all employees and Independent Members are aware of their responsibilities concerning declaring interests, gifts, hospitality, honoraria and sponsorship, a number of communication methods will be utilised to raise awareness. Targeting of specific groups and forums will also be undertaken to raise awareness of the policy such as corporate and local induction.

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

24 Publication of Registers

The Register of Interests and the Register of Gifts, Hospitality, Honoraria and Sponsorship will be published on the health board's internet site. An updated version will be added to the website at least annually. When making a

declaration, employees and Independent Members are able to make representations that information on their interests or offers of gifts, hospitality, honoraria and sponsorship received, should not be published. This will allow for, in exceptional circumstances, an individual's name and/or other information to be redacted from any publicly available registers where the public disclosure of information could give rise to a real risk of harm or is prohibited by law.

An interest will remain on the public register for a minimum of 6 months and no more than 12 months after the Corporate Governance team, on behalf of the Board Secretary, has been informed that the interest has expired. A record of historic interests will be retained by the health board for a minimum of 6 years after the date on which it expired.

25 Audit and Monitoring

The Director of Corporate Governance/Board Secretary is responsible for the monitoring of this policy and its formal review every three years.

The Director of Corporate Governance/Board Secretary will arrange for the Declarations of Interest Register and an overview of the gifts, hospitality, honoraria and sponsorship activities within the health board to be presented to the Audit, Risk and Assurance Committee at the end of each financial year.

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

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

26 Distribution

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

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

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

27 Confidentiality

As set out in employees' job descriptions, all employees may have access to confidential information about patients, staff or health service business. On no account must such information be divulged to anyone who is not authorised to receive it. Confidentiality of information must be preserved at all times whether at or away from work. Any breach of such confidentiality is considered a serious disciplinary offence, which may be liable to dismissal and/or prosecution under current statutory legislation; Data Protection Act 2018, General Data Protection Regulation (EU 2016/679), or any subsequent legislation to the same effect) and the health board's Disciplinary Policy. Any breach of confidentiality may lead to disciplinary action and may be regarded as gross misconduct justifying summary dismissal.

Where employees are unsure about the use or sharing of patient identifiable information, advice should be sought from the health board's Caldicott Guardian.

28 Please read in conjunction with:

Standing Orders & Standing Financial Instructions

- All Wales NHS Disciplinary Policy
- Confidentiality Policy
- Counter Fraud Policy & Response Plan
- Bribery Policy
- Secondary Employment Policy
- All Wales Policy
- Intellectual Property Policy Good Governance Guide for NHS Wales
- All Wales Procedure for NHS staff to Raise Concerns (AW document)
- All Wales social media Policy

29 Acknowledgements

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

- Aneurin Bevan University Health Board – Policy for Standards of Business Conduct (July 2023)
- Betsi Cadwaladr University Health Board - Standards of Business Conduct Policy (May 2024)
- Cardiff and Vale University Health Board - Standards of Behaviour Framework Policy (November 2022)
- Hywel Dda University Health Board - Standards of Behaviour Framework Policy (August 2022)
- Public Health Wales - Declarations of Interests, Gifts, Hospitality and Sponsorship Policy and Procedure for review March 2024)
- Velindre NHS Trust - Standards of Behaviour Framework Policy for review October 2022
- Welsh Ambulance Services NHS Trust – Gifts, Hospitality, Interests, Commercial Sponsorship and Fundraising Policy (July 2023)



Appendix B - Standards of Behaviour Framework

The Board has established its Values and Behaviours Framework for **all** staff working within the health board. The behaviours underpin the values that we, as an organisation, want to portray and as such they outline the behaviours in our interactions with colleagues, patients, public and service users, partners and stakeholders. Our values and behaviours are key to making Powys a “great place to work”. They are the basis of all of our practices which will support a culture of continuous improvement and high performance.

To support this, all employees and Independent Members must ensure that they carry out their roles with dedication and commitment to the health board and its core values.

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

To uphold these principles you must: -

- a. Ensure that the interests of patients and the public remain paramount;
- b. Be impartial and honest in the conduct of your official business;
- c. Use NHS resources to the best advantage of the service and the patients, always seeking to ensure value for money;
- d. Not abuse your official position for personal gain or to benefit your family or friends;
- e. Not seek advantage or to further private business or other interests in the course of your official duties, and;
- f. Not seek or knowingly accept preferential rates or benefits in kind for private transactions carried out with companies, with which they have had, or may have, official dealings on behalf of the health board.

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

It is your responsibility to ensure that you are familiar with the requirements of the policy and supporting guidance. The relevance of

this information will vary depending on your role within the health board and your interests outside of your employment.

In summary:

Do:

- Make sure that you are not in a position where your private interests and NHS duties may conflict.
- Declare any relevant interests. These include:
 - a) Directorships, including Non-Executive Directorships held in private companies or Public Limited Companies (PLCs), with the exception of dormant companies;
 - b) Ownership or part-ownership, of private companies, businesses or consultancies likely or possibly seeking to do business with the health board. This includes shareholdings, debentures or rights where the total nominal value is £50,000 or one hundredth of the total nominal value of the issued share capital of the company or body, whichever is the less;
 - c) Sponsorship or funding from a known NHS supplier or associated company/subsidiary;
 - d) A position of authority in a charity or voluntary body in the field of health and social care;
 - e) Any other connection with a voluntary, statutory, charitable or private body that could create a potential opportunity for conflicting interests;
 - f) Self-employment or employment by any other body. This includes the undertaking of agency working and private practice;
 - g) Research funding / grants that may be received by an individual or their department;
 - h) Any existing or new personal relationships which involve a professional colleague and which may give rise to an actual or potential conflict of interest, misuse of power or unfair bias.

If in doubt, declare it!

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

Do not:

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

If you need any further guidance please contact:
powysdirectoratorporategovernance@wales.nhs.uk

Appendix C

Full Name:		Position/Title:		Department :	
<i>What has been donated- tick from the following options:</i>					
Gift:		Accepted:		Declined:	
Hospitality:		Accepted:		Declined:	
Sponsorship:		Accepted:		Declined:	
Honorarium:		Accepted:		Declined:	
Event Details including location (if applicable)					
Start Date of Event (if applicable)			End Date of Event (if applicable)		
Description (including description of gift, course title, fees, travel, accommodation (if applicable))					
Name of Sponsor/Donor/Organisation/Company :					
Address of Sponsor/Donor/Organisation/Company					
Are you aware of any current or future commercial relationship with the provider of the gift/hospitality/sponsorship/honorarium?					
Exact/Approximate Value:					
Travel					
Accommodation					
Meals/refreshments					
Conference/registration fees					
Other (please specify)					
Study Leave required		Yes:	No:	Not applicable:	
Has a study form been completed?		Yes:	No:	Not applicable:	
Annual leave required?		Yes:	No:	Not applicable:	

DECLARATION:

I understand:

- **That the information submitted will be held by the Health Board for personnel or other reasons specified below to comply with the Health Board Policies and Procedures.**
- **This information may be held in both manual and electronic form in accordance with relevant legislation.**
- **Information may be disclosed to third parties in accordance with the Freedom of Information Act, and published in registers that the Health Board holds and makes available in the public domain.**
- **This information will be available in its entirety for public inspection.**
- **That copies of my declaration form will be shared with relevant functions to support year-end reporting e.g. Finance and Procurement.**
- **I understand that declarations will be published unless there are exceptional circumstances as to why they should not be – please see box below.**

I consent to the disclosure of relevant information on this form for the purposes of fraud prevention, detection and investigation.

I declare that the information given on this form is true and complete to the best of my knowledge. I understand that action may be taken against me if I make a false statement

By ticking this box, I understand that I am indicating that I consider that there are exceptional circumstances as to why my declaration should not be published

PLEASE NOTE: If you have ticked the above box, the Corporate Governance Function will make contact to establish if you have reasonable grounds for your declaration to be excluded on registers that the Health Board holds and publishes.

Signature of Applicant:

.....

Date:

Approved by (Director/Executive Director)

Print

Name:.....

Date

Signature:.....	
Please return the completed approved declaration form to powysdirectorate.corporategovernance@wales.nhs.uk	
For Corporate Governance Team competition only:	
Recorded on the Register of Gifts/Hospitality & Sponsorship: Print Name:..... Signature:.....	Date:

Appendix D – Factors to consider when a donation is received

