

StHK Financial Services / ESR & Workforce Systems

Conflicts of Interest Declarations

Quick Guide

Introduction

- You may have been identified as a senior decision-making manager who needs to complete an annual (or better) **Conflicts of Interest (COI) Declarations** form.
- The Trust is moving to an ESR-based system for the completion, approval and tracking of these forms.
- This **Quick Guide** briefly explains the process and covers what you need to do.

→ What is a **COI Declarations** form?

This is a template in which senior **decision-making staff** disclose to the Trust any **conflicts of interest**.

→ What is a COI?

'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.'

Staff may hold interests for which they cannot see potential conflict. However, caution is always advisable, because others may see things differently and perceived conflicts of interest can be damaging.

All interests should be declared, [where there is a risk of perceived improper conduct](#).

→ Interests which (could be perceived to) create conflict are listed below, by type.

- **Financial** – e.g. you are the owner of a medical supplies company in the North West, or a supplier offers you gifts.
- **Indirect** – e.g. a close family member is the owner of a medical supplies company in the North West.
- **Personal** – e.g. you are a member of a lobby or pressure group focussing on healthcare.
- **Professional** – e.g. you stand to gain significant awards or accreditations based on a business decision at work.

The Trust understands that conflicts of interest will arise. They should be avoided as is reasonable, and certain situations **must be avoided and/or declared when required**, in line with the Trust's **Standards of Business Conduct** policy.

→ When should I declare?

Generally, declarations should be made by senior decision-making staff on appointment, on promotion, or when material interests arise (within 28 days). **They also need to make an annual declaration at the end of each financial year, to cover that year.**

If staff are in any doubt as to whether an interest is material, they should declare it, so that it can be considered.

What should I declare?

- In the following cases, your Declarations need to include the '*who, when, what, and how much?*' of each situation.
- This section only details **what to declare**.
- **Other restrictions apply** and a number of things are not permitted or require special approval – see the Trust's **Standards of Business Conduct** policy for details.

1 GIFTS or HOSPITALITY

These are a very common source of **financial conflicts of interest**.

- **Gifts from patients / carers exceeding £50** in value over a 12 month period can only be accepted with the permission of the Director of Finance. Whether accepted or not, they must be declared.
- **Gifts offered by suppliers / contractors** other than minor promotional items (pens etc) must be refused and declared.
- **Cash or vouchers** for personal use must be refused from any source and declared.
- **Hospitality – meals or refreshments valued over £25**.
- **Hospitality – travel or accommodation costs of any value**, even if modest and even if the Trust would have paid these business expenses on your behalf.

2 OTHER EMPLOYMENT / ROLES / INCOMES involving other organisations

In particular, you must declare so that your manager / the Trust can manage conflicts as they arise. These conflicts might be seen to adversely affect your judgement in performing Trust duties.

- **Outside (secondary) employment**.
- **All private practice (medical staff)** including the location, specialty, major procedures, identified sessions and time commitment.
- **Loyalty interests - unpaid / voluntary positions of authority** which could be seen to influence your Trust decision-making or Trust business. Participation in advisory groups or other forums which relate to Trust business.
- **Monies personally received (such as grants or speaker fees) in another role / capacity**, which could be seen to influence your Trust decision-making or Trust business.

3 OTHER BUSINESS INTERESTS

- **Shareholdings, directorships and other ownership interests** in any publicly listed, private or not-for-profit company, business, partnership or consultancy which is doing, or might be reasonably expected to do, business with the Trust.
- **Patents, royalties or IP rights held** which might relate to Trust purchases and practices.

4 DONATIONS or SPONSORSHIP

Declarations in this area may seem odd, as these are ultimately Trust income, not personal income. However, such incomes could be viewed adversely and need to be controlled.

- **Donations to the Trust or its Charity** made by potential or actual business partners / suppliers to the Trust must be declared whether (exceptionally) accepted, or not.
- **Event sponsorship by external bodies exceeding £25** – manager in charge should declare.
- **Involvement with sponsored research or posts.**

5 INDIRECT INTERESTS – family interests

If you have a relative or other close associate with relevant **other business interests** (section 3) or material loyalty interests (section 2), these also need to be disclosed.

Please also disclose situations where you could be involved in the recruitment or management of close family members, friends, associates, and business partners.

→ What if I have *nothing to declare* over the financial year?

Please declare it! We need to collect 'nil returns' too. Every senior decision-making manager needs to complete a COI Declaration at least once a year whether it declares a matter or not.

→ What will happen with my information?

- It will be reviewed by your manager, who will work with you to mitigate risks.
- It will be available to Trust directors for consideration.
- It will be subject to statutory audit.
- It will be included in the Trust's Register of Interests.
- It may be published on the Trust's website, with your permission.

→ What if I don't have a current ESR login?

Declarations can be made 'manually' by forms. Staff may also be assisted in setting up an ESR account. Please contact ESR.Helpdesk@sthk.nhs.uk to discuss your options.

→ The Standards of Business Conduct does not refer to ESR?

The Trust's main policy is due to be updated in 2021, and the new ESR workflow process will be incorporated then.

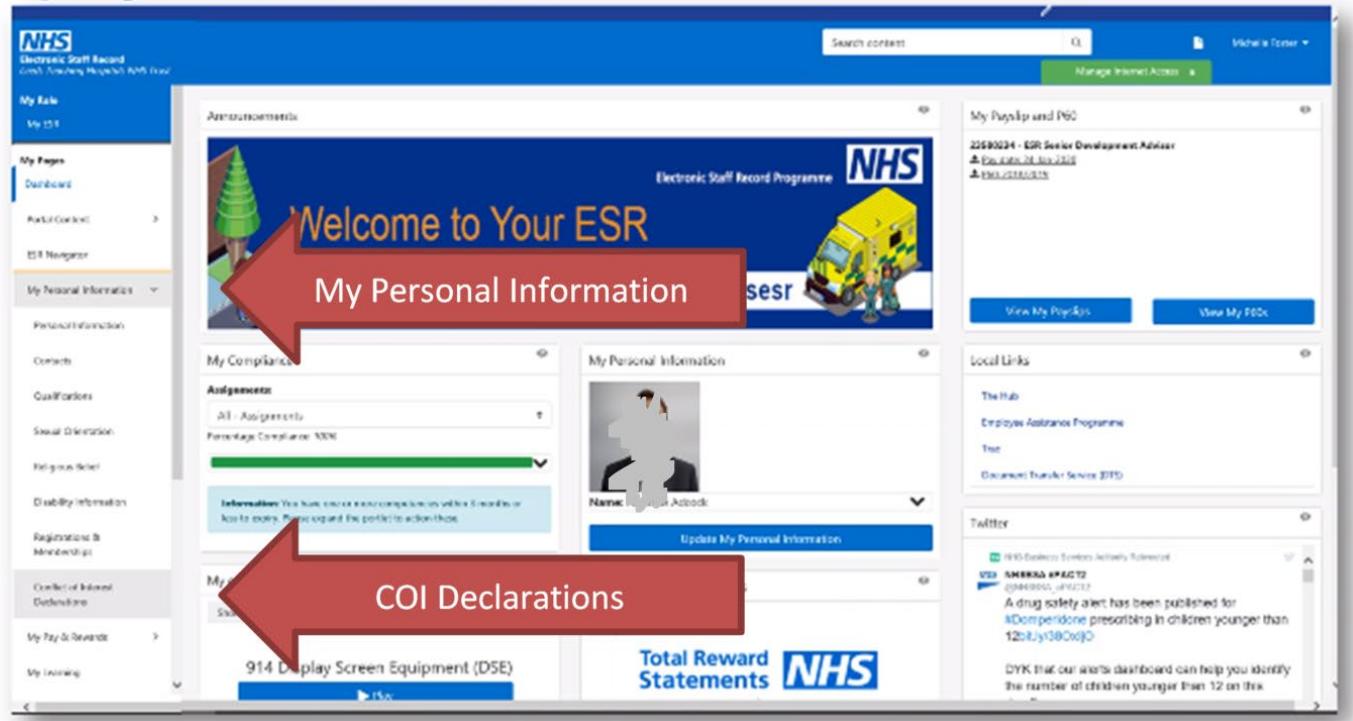
Please contact Deborah Harman via Teams / email deb.harman@sthk.nhs.uk if you have any queries about this part of this Quick Guide.

If in doubt, declare!

How to input to ESR

1. Log into ESR (via <https://my.esr.nhs.uk>) > My Personal Information > Conflict Of Interest Declarations.

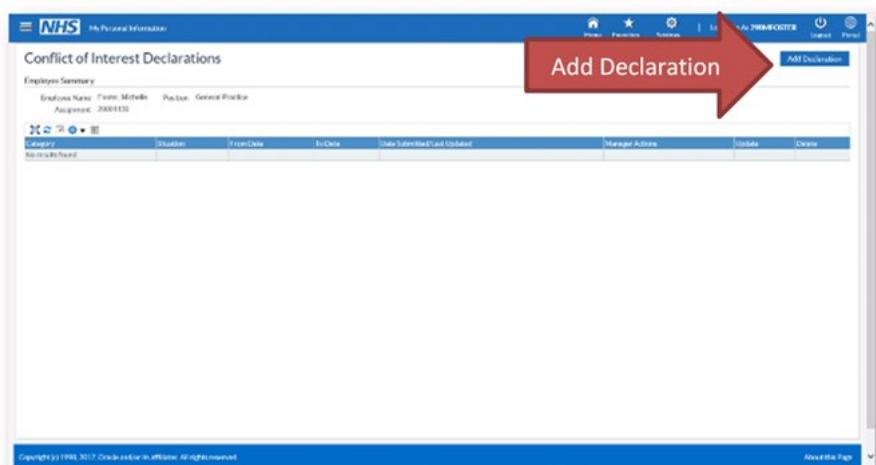
Employee Self Service



My Personal Information

COI Declarations

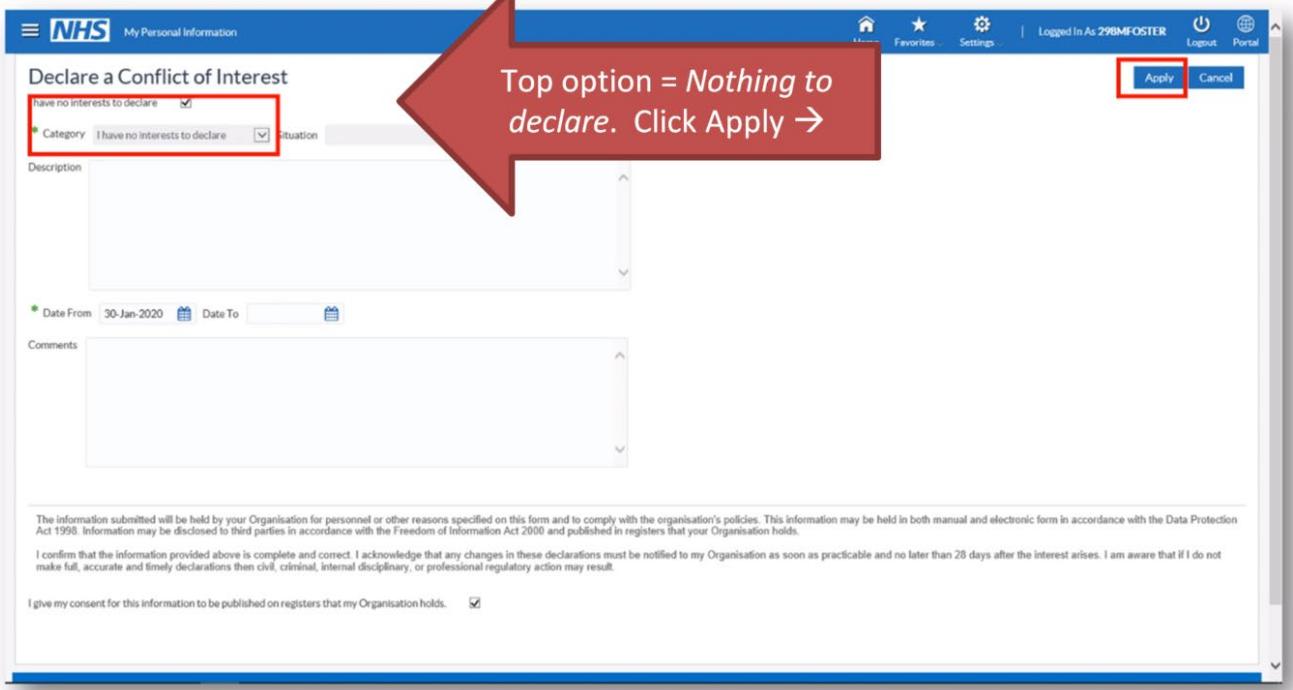
2. Click Add Declaration.



Add Declaration

3. If you have nothing to declare, tick the check box and click **Apply**. Your Declaration is now complete.

Nothing to Declare



Declare a Conflict of Interest

I have no interests to declare

* Category I have no interests to declare

Situation

Description

Date From 30-Jan-2020 Date To

Comments

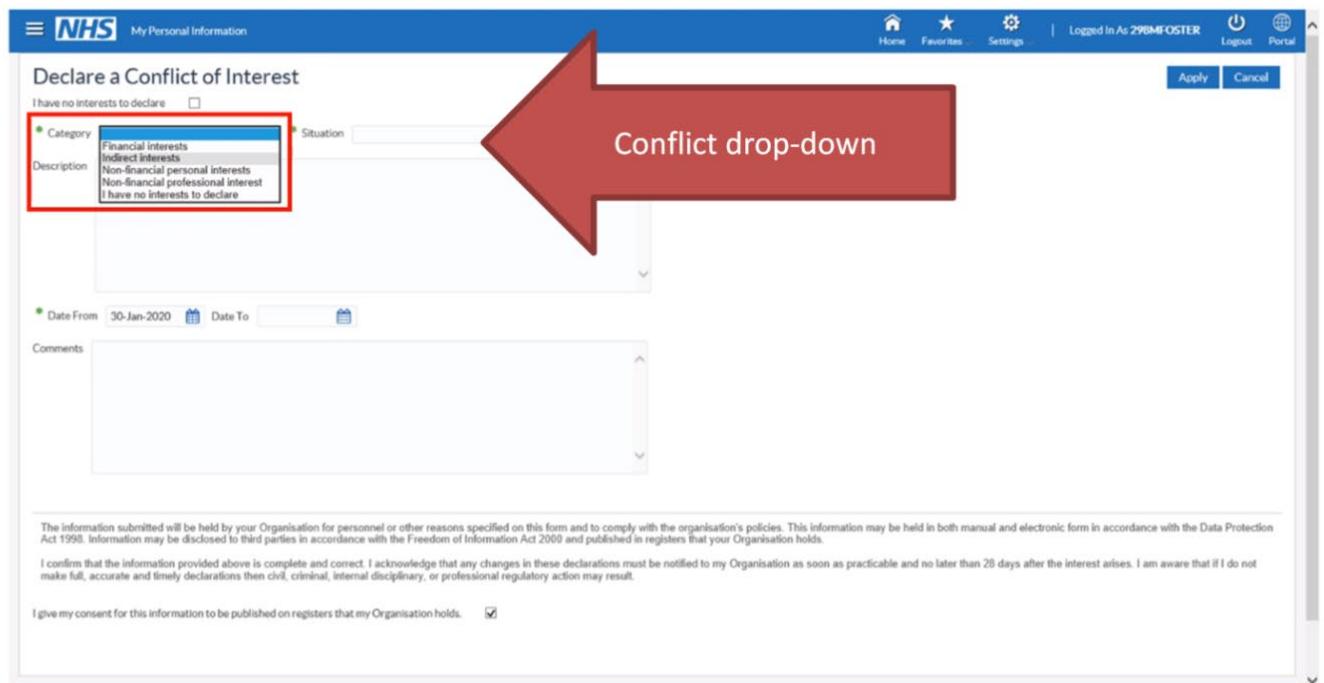
The information submitted will be held by your Organisation for personnel or other reasons specified on this form and to comply with the organisation's policies. This information may be held in both manual and electronic form in accordance with the Data Protection Act 1998. Information may be disclosed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

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

I give my consent for this information to be published on registers that my Organisation holds.

4. If you wish to declare an interest, select a **Category** and **Situation** from the drop-down boxes.

Declaring a Conflict



Declare a Conflict of Interest

I have no interests to declare

* Category Financial interests

Indirect interests

Non-financial personal interests

Non-financial professional interest

I have no interests to declare

Situation

Description

Date From 30-Jan-2020 Date To

Comments

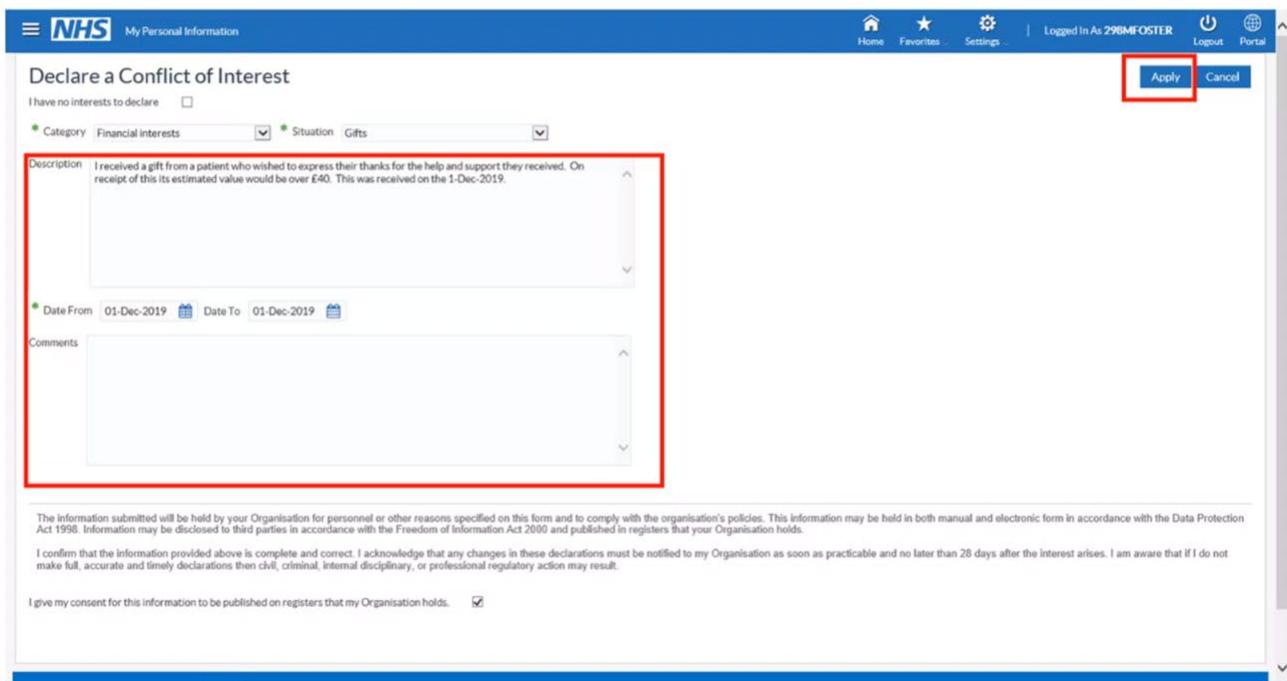
The information submitted will be held by your Organisation for personnel or other reasons specified on this form and to comply with the organisation's policies. This information may be held in both manual and electronic form in accordance with the Data Protection Act 1998. Information may be disclosed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

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I give my consent for this information to be published on registers that my Organisation holds.

5. Enter the **Description** and **Comments** in the free text boxes and the **Date From** – the date of the declaration and **Date To** – the date one year after the **From** date. Click **Apply**.

Declaring a Conflict



The screenshot shows a web-based form for declaring a conflict of interest. At the top, there is a blue header bar with the NHS logo and 'My Personal Information' link. To the right of the header are links for 'Home', 'Favorites', 'Settings', and 'Logout/Portal'. The main content area has a title 'Declare a Conflict of Interest'. A note says 'I have no interests to declare' with an unchecked checkbox. Below this are dropdown menus for 'Category' (set to 'Financial interests') and 'Situation' (set to 'Gifts'). A large text area for 'Description' contains the text: 'I received a gift from a patient who wished to express their thanks for the help and support they received. On receipt of this its estimated value would be over £40. This was received on the 1-Dec-2019.' A second text area for 'Comments' is empty. At the bottom, there are date pickers for 'Date From' (01-Dec-2019) and 'Date To' (01-Dec-2019). A note at the bottom states: 'The information submitted will be held by your Organisation for personnel or other reasons specified on this form and to comply with the organisation's policies. This information may be held in both manual and electronic form in accordance with the Data Protection Act 1998. Information may be disclosed to third parties in accordance with the Freedom of Information Act 2000 and published in registers that your Organisation holds.' Another note says: 'I confirm that the information provided above is complete and correct. I acknowledge that any changes in these declarations must be notified to my Organisation as soon as practicable and no later than 28 days after the interest arises. I am aware that if I do not make full, accurate and timely declarations then civil, criminal, internal disciplinary, or professional regulatory action may result.' A checkbox for 'I give my consent for this information to be published on registers that my Organisation holds' is checked. The 'Apply' button is highlighted with a red box.

6. The completed Declaration can now be reviewed by the ESR Supervisor.

Manager review

1. Log into ESR > Manager > My Team Personal Information > Conflict Of Interest Declarations.



2. From your staff list select the appropriate person and click on ACTION.

Conflict of Interest Declarations: People in Hierarchy

© TIP Click the action button next to the employee you wish to action. Click the details button for more information about the employee.

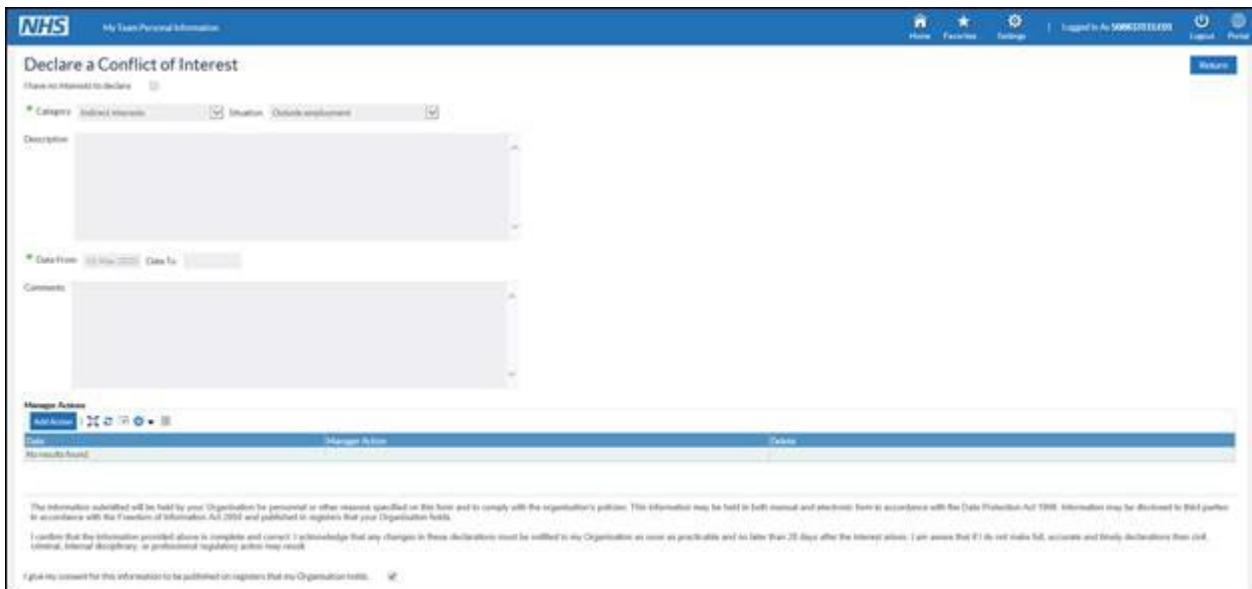
Focus Name	Assignment Number	Job	Organisation	Action	Details
My Assignments					
Bray, Ms. Donna Marie					
Ferguson-Emms, Mrs. Helen	27029592	Administrative and Clerical/Analyst	409 356163 ESR & Workforce Systems Team		
Forsyth, Miss Rebecca Louise	28989184	Administrative and Clerical/Analyst	409 356158 Vaccination Lead Employer Team		
Owens, Mrs. Tracey	10933928	Administrative and Clerical/Analyst	409 356163 ESR & Workforce Systems Team		
Ramsey, Mrs. Tanya	27475124-2	Administrative and Clerical/Analyst	409 356163 ESR & Workforce Systems Team		
Smith, Miss Elizabeth Anne (Lizzie)	26787959	Administrative and Clerical/Analyst	409 356163 ESR & Workforce Systems Team		
Weeks, Mrs. Julie Ann	28663301	Administrative and Clerical/Clerical Worker	409 External Workers Team		
Bray, Ms. Donna Marie					

3. The Employee Summary will be shown and you can use the Pencil Icon to add your manager action.

If there is no interest declared you do not need to do anything.

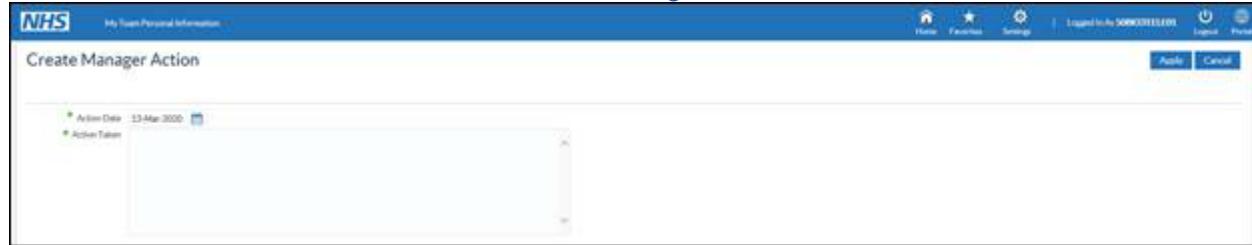
Conflict of Interest Declarations							
Employee Summary		Conflict of Interest Declarations					
Employee Name	Assignment	Position	From Date	To Date	Data Submitted/Last Updated	Manager Actions	Update
Bray, Ms. Donna Marie		External Worker	06-Apr-2021	06-Apr-2021	N		
Non-financial personal interests	Outside employment		06-Apr-2021	06-Apr-2021	N		
I have no interests to declare			06-Apr-2021	06-Apr-2021	N		

4. A read-only version of the employee's Declaration is displayed.



The screenshot shows the 'Declare a Conflict of Interest' page. At the top, there are dropdown menus for 'Category' (selected 'Actual interests') and 'Situation' (selected 'Outside employment'). Below these are fields for 'Description', 'Date From' (13-Mar-2020), 'Date To' (13-Mar-2020), and 'Comments'. A 'Manager Actions' section at the bottom contains a table with one row: '23 Mar 2020' and 'Discussed with employee, no further action required'. A note at the bottom states: 'The information submitted will be held by your Organisation for personal or other reasons specified on this form and to comply with the organisation's policies. This information may be held in both manual and electronic form in accordance with the Data Protection Act 1998. Information may be disclosed to third parties in accordance with the Freedom of Information Act 2000 and published to registers that your Organisation holds. I confirm that the information provided above is complete and correct. I acknowledge that any changes in these declarations must be notified to my Organisation as soon as practicable and no later than 20 days after the interest arises. I am aware that if I do not make full, accurate and timely declarations then civil, criminal, internal disciplinary, or professional regulatory action may result.' A checkbox for 'I give my consent for this information to be published on registers that my Organisation holds.' is present.

5. Click the **Add Action** button to add a new manager action.



The screenshot shows the 'Create Manager Action' page. It has fields for 'Action Date' (13-Mar-2020) and 'Action Taken'. A note at the bottom states: 'The information submitted will be held by your Organisation for personal or other reasons specified on this form and to comply with the organisation's policies. This information may be held in both manual and electronic form in accordance with the Data Protection Act 1998. Information may be disclosed to third parties in accordance with the Freedom of Information Act 2000 and published to registers that your Organisation holds. I confirm that the information provided above is complete and correct. I acknowledge that any changes in these declarations must be notified to my Organisation as soon as practicable and no later than 20 days after the interest arises. I am aware that if I do not make full, accurate and timely declarations then civil, criminal, internal disciplinary, or professional regulatory action may result.' A checkbox for 'I give my consent for this information to be published on registers that my Organisation holds.' is present.

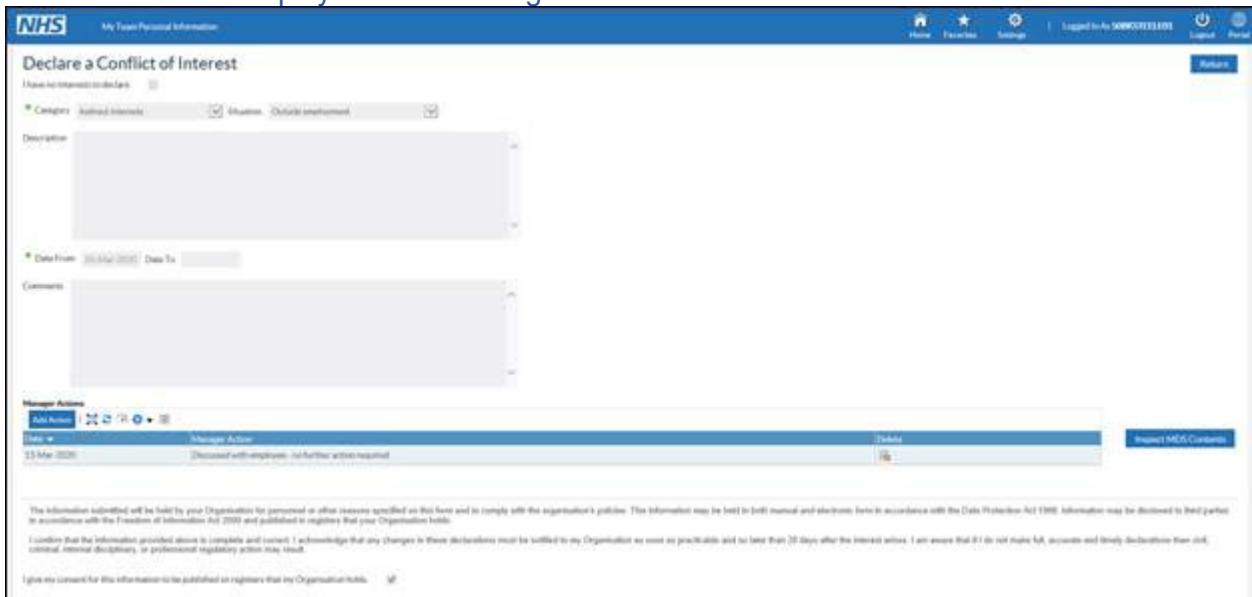
6. The **Action Date** will default to the current date.

This can be amended as required.

7. Click in the **Action Taken** field and record the relevant details.

8. Click the **Apply** button.

The action will be displayed in the Manager Actions table.



The screenshot shows the 'Declare a Conflict of Interest' page with the updated Manager Actions table. The table now has two rows: '23 Mar 2020' and 'Discussed with employee, no further action required'. A note at the bottom states: 'The information submitted will be held by your Organisation for personal or other reasons specified on this form and to comply with the organisation's policies. This information may be held in both manual and electronic form in accordance with the Data Protection Act 1998. Information may be disclosed to third parties in accordance with the Freedom of Information Act 2000 and published to registers that your Organisation holds. I confirm that the information provided above is complete and correct. I acknowledge that any changes in these declarations must be notified to my Organisation as soon as practicable and no later than 20 days after the interest arises. I am aware that if I do not make full, accurate and timely declarations then civil, criminal, internal disciplinary, or professional regulatory action may result.' A checkbox for 'I give my consent for this information to be published on registers that my Organisation holds.' is present.

9. Click the **Return** button.

The Manager Actions column on the Conflict of Interest Declarations page will be updated to show a 'Y' flag.



The screenshot shows a web-based application interface for 'Conflict of Interest Declarations'. At the top, there is a header with the NHS logo, a 'My Team Personal Information' link, and navigation icons for Home, Favorites, Settings, Logout, and Portal. The main content area is titled 'Conflict of Interest Declarations'. Below the title, there is an 'Employee Summary' section showing Employee Name: Smith, Steve, Position: Technical Specialist, and Assignment: 20000113. The main feature is a table with the following columns: Category, Declaration, From Date, To Date, Date Submitted/Last Updated, Manager Actions, Update, and Delete. The table has one visible row: 'Healthcare Interests' with 'Obstructive lymphangiomyomatosis' as the declaration, '05-Mar-2020' as the from date, '13-Mar-2020' as the to date, and '2020-03-13 10:00:00' as the last updated date. The 'Manager Actions' column for this row contains a yellow 'Y' flag icon. The 'Update' and 'Delete' buttons are also visible in this column.

The employee can see the details of any Manager Actions against their declarations, but they are read only.

9. Click the **Home** button to return to the Manager Self Service homepage or click the **Portal** icon to return to the My ESR Dashboard.