

StHK Financial Services / ESR & Workforce Systems

Conflicts of Interest Declarations

Quick Guide

A decorative graphic at the bottom of the page consisting of several overlapping, curved shapes in various shades of blue, creating a wave-like effect.

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.

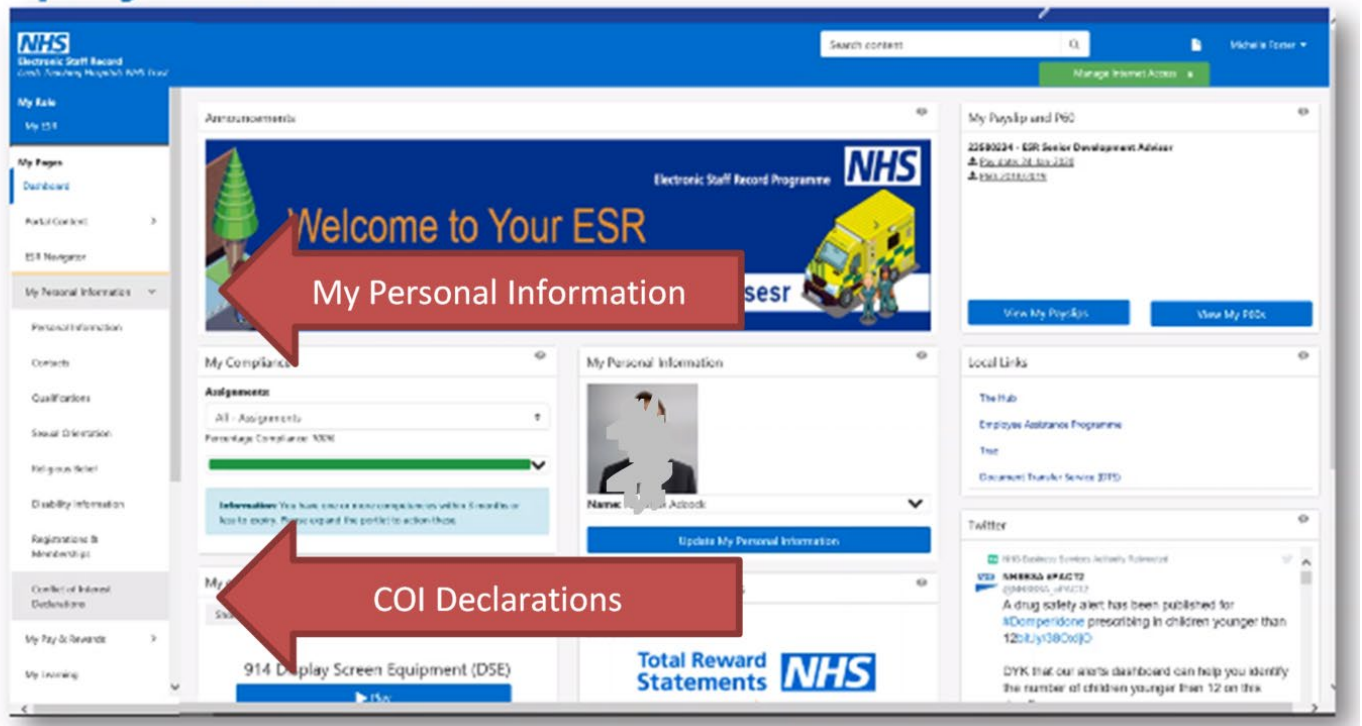
Please contact Deborah Harman via Teams / email deb.harman@sthk.nhs.uk if you have any queries about this part of this *Quick Guide*.

If in doubt, declare!

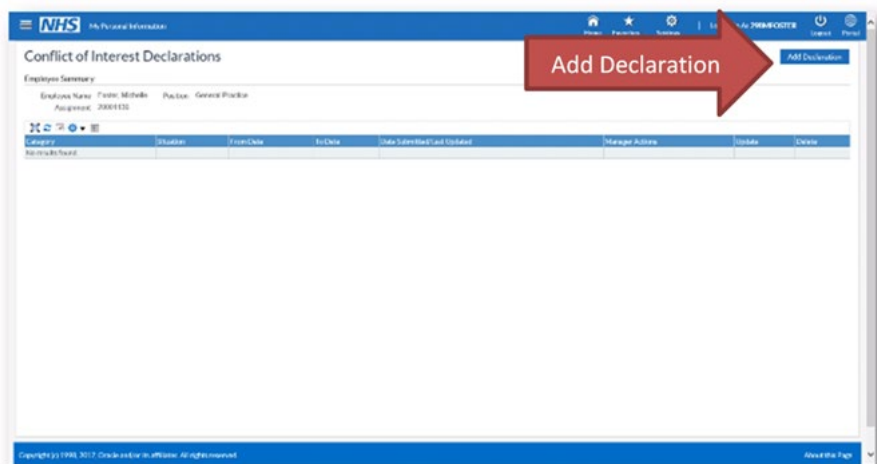
How to input to ESR

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

Employee Self Service



2. Click **Add Declaration**.



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

Nothing to Declare

The screenshot shows the NHS 'My Personal Information' portal. The form is titled 'Declare a Conflict of Interest'. At the top, there is a checkbox labeled 'I have no interests to declare' which is checked. Below this, the 'Category' dropdown is set to 'I have no interests to declare'. A red arrow points to the 'Apply' button in the top right corner. A text box next to the arrow says: 'Top option = Nothing to declare. Click Apply →'. The form also includes fields for 'Date From' (30-Jan-2020), 'Date To', and 'Comments'. At the bottom, there is a consent statement and a checkbox for 'I give my consent for this information to be published on registers that my Organisation holds.' which is also checked.

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

Declaring a Conflict

The screenshot shows the NHS 'My Personal Information' portal. The form is titled 'Declare a Conflict of Interest'. The 'I have no interests to declare' checkbox is unchecked. The 'Category' dropdown is open, showing a list of options: 'Financial interests', 'Indirect interests', 'Non-financial personal interests', 'Non-financial professional interest', and 'I have no interests to declare'. A red arrow points to this dropdown menu with the text: 'Conflict drop-down'. The 'Situation' dropdown is also visible. The form includes fields for 'Date From' (30-Jan-2020), 'Date To', and 'Comments'. At the bottom, there is a consent statement and a checkbox for 'I give my consent for this information to be published on registers that my Organisation holds.' which is checked.

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

NHS My Personal Information

Home Favorites Settings | Logged In As 298MFOSTER Logout Portal

Declare a Conflict of Interest

I have no interests to declare ☐

Category: Financial Interests Situation: Gifts

Description
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.

Date From: 01-Dec-2019 Date To: 01-Dec-2019

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. ☒

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.**

NHSElectronic Staff RecordSt Helens & Knowsley Teaching Hospitals

My Role

My ESR

Manager

My Pages

Dashboard

ESR Navigator

Talent Profile

Organisation Chart

My Team Personal Information

Personal Information

Contacts

Absence Calendar

Absence

Property Register


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		
	Forshaw, 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	28683801	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

Employee Name: Assignment: Position: External Worker

Category	Situation	From Date	To Date	Date Submitted / Last Updated	Manager Actions	Update	Delete
Non-financial personal interests	Outside employment	06-Apr-2021		06-Apr-2021	NI		
I have no interests to declare		06-Apr-2021		06-Apr-2021	NI		

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

NHS My Team/Personal Information

Home Favourites Settings | Logged in As S000031131000 Logout Profile

Declare a Conflict of Interest

Have an interest to declare?

Categories: Indirect interests Situation: Outside employment

Description

Date From: 13-Mar-2020 Date To:

Comments

Manager Actions

Date	Manager Action	Delete
13-Mar-2020	Discussed with employee - no further action required	

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

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

NHS My Team/Personal Information

Home Favourites Settings | Logged in As S000031131000 Logout Profile

Create Manager Action

Action Date: 13-Mar-2020 Action Taken:

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.

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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.

NHS My Team/Personal Information

Home Favourites Settings | Logged in As S000031131000 Logout Profile

Declare a Conflict of Interest

Have an interest to declare?

Categories: Indirect interests Situation: Outside employment

Description

Date From: 13-Mar-2020 Date To:

Comments

Manager Actions

Date	Manager Action	Delete
13-Mar-2020	Discussed with employee - no further action required	
13-Mar-2020	Discussed with employee - no further action required	

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

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 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.