

Integrated Care Board

Date of meeting	2 November 2022
Title of paper	ICB Managing Conflicts of Interest (including gifts and hospitality) report
Presented by	Sam Proffitt, Chief Finance Officer
Author	Debra Atkinson, Company Secretary/Director of Corporate Governance
Agenda item	10
Confidential	No
Purpose of the paper	
To update the board on progress to date with the implementation of the ICB's policy for Managing Conflicts of Interest (including gifts and hospitality).	
Executive summary	
<p>The report outlines the work to date to support the implementation of the ICB's arrangements for Managing Conflicts of Interests (COI) (including gifts and hospitality).</p> <p>The ICB has policies and procedures in place for the identification, declaration and management of COI and for declaring any gifts or hospitality in line with appropriate thresholds; these are published in the governance handbook and are available on the ICB's website.</p> <p>Full registers of interests have been created, and remain under review whilst the ICB structures, and the roles and responsibilities that underpin those structures continue to develop. The registers of interests for the board, its committees and those staff defined as decision making in the ICB Managing Conflicts of Interest Policy, have been published on the ICB's website.</p> <p>The ICB's Audit Committee received its first quarterly update on progress at its meeting in September; the board will receive an update report annually including the fully updated registers prior to publication on the ICB website.</p> <p>The governance team will ensure that advice and guidance is available to all staff on any local matters relating to the implementation of the policy and ensure this is aligned to national guidance and the outcomes of any internal audit recommendations.</p>	
Recommendations	
<p>The board is requested to:</p> <ul style="list-style-type: none"> • Note the contents of the report • Note the work underway to support the implementation of the policy for managing conflicts of interest (including gifts and hospitality) • Note the registers for the board, its committees and decision-making staff (as defined in the policy) have been published on the ICB's website • Agree to receive annual update reports on the management of conflicts of interest 	
Governance and reporting (list other forums that have discussed this paper)	

Meeting	Date	Outcomes
Audit Committee	29 September 2022	Noted
Conflicts of interest identified		
These are detailed within the report		

Implications				
(If yes, please provide a brief risk description and reference number)	Yes	No	N/A	Comments
Quality impact assessment completed			N/A	
Equality impact assessment completed			N/A	
Data privacy impact assessment completed			N/A	
Financial impact assessment completed			N/A	
Associated risks			N/A	
Are associated risks detailed on the ICB Risk Register?			N/A	
Report authorised by:	Sam Proffitt, Chief Finance Officer			

Integrated Care Board – 2 November 2022

ICB Managing Conflicts of Interest (including gifts and hospitality) report

1. Introduction

- 1.1 The purpose of this report is to present the board with an overview of the work undertaken to date in the implementation of the NHS Lancashire and South Cumbria Integrated Care Board's (ICB) policy for Managing Conflicts of Interest (including gifts and hospitality).
- 1.2 The policy sets out the arrangements that the ICB has put in place to manage any actual or potential conflicts of interest and ensure that decisions made by the ICB will be taken, and seen to be taken, without being unduly influenced by external or private interests and, do not (and do not risk appearing to) affect the integrity of the ICB's decision making processes.
- 1.3 The policy also sets out the principles and thresholds to be adopted in relation to gifts and hospitality, what should be accepted or declined and what should be declared and published on the gifts and hospitality register.
- 1.4 The board, its committees and sub-committee members, and employees of the ICB must comply with the ICB's policy on conflicts of interests (including gifts and hospitality) in line with their terms of office and/or employment. This will include but is not limited to declaring all interests on a register that will be maintained by the ICB.

2. Registers of Interests

- 2.1 The ICB has created registers of interests of:

- Members of the board
- Members of the board's committees, sub-committees or decision-making groups
- Its employees

All declared interests that are material will be promptly transferred to the registers by the Conflicts of Interests Administrator.

- 2.2 The Audit Committee will receive quarterly reports to provide assurance that the systems and processes for the management of conflicts of interests, (including gifts

and hospitality) are effective. This will include exception reports in relation to any breaches of the policy, which would be reported to the Conflicts of Interest Guardian in the first instance. The Audit Committee received the first of these reports at its meeting on 29 September 2022 and noted the arrangements in place.

- 2.3 The full registers will be regularly reviewed and updated and a report will be presented to the board annually. The registers of the board, its committees and those staff defined as decision making have been published on the ICB's website: www.lancashireandsouthcumbriaicb.nhs.uk.

The ICB has defined decision making staff as:

- All Board Members
- Members of all committees of the ICB
- Members of advisory groups which contribute to direct or delegated decision making on the commissioning or provision of taxpayer funded services such as working groups involved in service redesign or stakeholder engagement that will affect future provision of services;
- Members of procurement panels;
- Those at Agenda for Change Band 8D and above;
- Individuals who have the power to enter into contracts on behalf of the ICB; and
- Individuals involved in decision making concerning the commissioning of services, purchasing of goods, medicines, medical devices or equipment and formulary decisions

- 2.4 The governance team will continue to work on maintaining the ICB's registers of interests and these will be fully updated as roles and responsibilities within the emerging ICB structures, and its committees are agreed.

3. Registers of gifts and hospitality

- 3.1 Further to the publication of the ICB registers, regular communication will be provided via staff newsletters and the ICB intranet to remind staff of the requirements around declarations for the acceptance of gifts and hospitality; the first of these communications was issued on 20 October 2022.
- 3.2 An ICB register of gifts and hospitality will also be published on the ICB internet, and updates will be provided through reports to the Audit Committee and board as outlined above.
- 3.3 There are currently no declarations submitted for inclusion on the ICB's register of gifts and hospitality.

4. Conclusion

- 4.1 The report has outlined the work to date to support the implementation of the ICB's policy for Managing Conflicts of Interests (including gifts and hospitality).
- 4.2 The ICB full registers of interests will be held and maintained within the corporate governance team and the register of interests for decision making staff are available on the ICB internet, however, they will remain under review whilst the ICB structures, and the staff roles and responsibilities that underpin those structures, continue to develop.
- 4.3 The governance team will ensure relevant advice and guidance is available to all staff on any local matters relating to the implementation of the policy and ensure this is aligned to national guidance, and the outcomes of any internal audit recommendations.

5. Recommendations

- 5.1 The board is requested to:
 - **Note** the contents of the report;
 - **Note** the work underway to support the implementation of the ICB's policy for Managing Conflicts of Interests (including gifts and hospitality);
 - **Note** that the registers of interests for the board, its committees and decision-making staff have been published on the ICB's website;
 - **Agree** to receive annual update reports on the management of conflicts of interest.

Mrs Debra Atkinson

2 November 2022