

## Pledge to Code of Conduct, Nolan Principles, the Leeds Way Values & CQC Well-led Guidance

### Public Board

**30 May 2024**

<b>Presented for:</b>	Endorsement by All Board Members
<b>Presented by:</b>	Jo Bray, Company Secretary
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<b>Previous Committees:</b>	Annually to the Board, (Last received May 2023)

<b>Our Annual Commitments for 2024/25 are:</b>	
Reduce wait for patients	✓
Reduce Healthcare Acquired Infections by 15%	✓
Reduce our carbon footprint through greener care	✓
Use our existing digital systems to their full potential	✓
Strengthen participation and growth in research and innovation	✓
Deliver the financial plan	✓
Be in the top 25% performing Trusts for staff retention	✓

<b>Trust Risks (Type &amp; Category)</b>				
<b>Level 1 Risk</b>		<b>Level 2 Risks</b>	<b>(Risk Appetite Scale)</b>	<b>Tolerance</b>
Workforce Risk				
Operational Risk				
Clinical Risk				
Financial Risk				
External Risk	✓	<b>Legal &amp; Governance Risk</b> We will operate the Trust in compliance with the Law and UK Corporate Governance Code, where applicable	Averse	↔ (same)

The Code of Conduct for the Board of Directors at LTHT adheres to the Nolan Principles, the values set out in The Leeds Way and underpins the capable, compassionate and inclusive leaders with exemplary behaviours as defined by the CQC Well-led guidance.

All Directors are invited to pledge to support these values.

Endorsement by All

## 1. Summary

Governance principles are set out in the Nolan Principles (*The Seven Principles of Public Life*) which should underpin all behaviours of public Boards. This has been further supported by the Health and Social Care Act Regulation 2015 which not only includes the requirement that Directors of NHS bodies meet the Care Quality Commission (CQC) Fit and Proper Person Test (and updated amendments following the recommendations of the Kark Review in August 2023), but is supported by the Duty of Candour, which should ensure that the Trust is open and honest with people who use healthcare services.

In April 2024 the CQC published Guidance for Trusts: Assessing the Well-led Key Question. [Guidance for NHS trusts and foundation trusts: assessing the well-led key question - Care Quality Commission \(cqc.org.uk\)](https://www.cqc.org.uk/guidance-for-trusts/assessing-the-well-led-key-question) The aim is to help trusts understand what good leadership looks like, which enables better care for patients, and more sustainable health and care service. This incorporates key developments in health and care policy and best practice along with expectations around system working, freedom to speak up and continuous improvement.

Within the Well-led Guidance; capable, compassionate, and inclusive leaders are defined as; 'We will have inclusive leaders at all levels who understand the context in which we deliver care, treatment and support and embody the culture and values of their workforce and organisation. They have the skills, knowledge, experience and credibility to lead effectively and do so with integrity, openness and honesty'. And goes on to say .....

- 'When something goes wrong, people are informed and supported, and duty of candour is followed
- The Trust has developed activities and interventions for leaders that are centred around their principles and behaviours, to help leaders learn more about what exemplary behaviours entail
- Leaders being role models of behaviours'

## 2. Background

All NHS Boards are required to have a Code of Conduct to underpin behaviours of members and conduct during meetings.

## 3. Proposal

The Board are invited annually to endorse their support to the Code of Conduct for Directors at Leeds Teaching Hospitals NHS Trust and recognise their personal duties to role model exemplary behaviours which is recorded formally within the minutes of the meeting.

## 4. Financial Implications and Risk

N/A

## **5. Risk**

There have been no breaches in year, members of the Board have adhered to the Code of Conduct for the Board of Directors at LTHT, complied with the Nolan Principles and the values set out in The Leeds Way. During the annual appraisal season, currently taking place during the first quarter of the financial year, each member has also reviewed and discussed behaviours within this process.

Therefore the Trust continues to operate within the averse risk appetite with regard to regulatory risk set by the Board requiring the Trust “We will operate the Trust in compliance with the Law and UK Corporate Governance Code, where applicable”.

## **6. Communication and Involvement**

This is for all Board members to understand.

## **7. Equality Analysis**

Applicable to all Board members.

## **8. Publication Under Freedom of Information Act**

This paper has been made available under the Freedom of Information Act 2000.

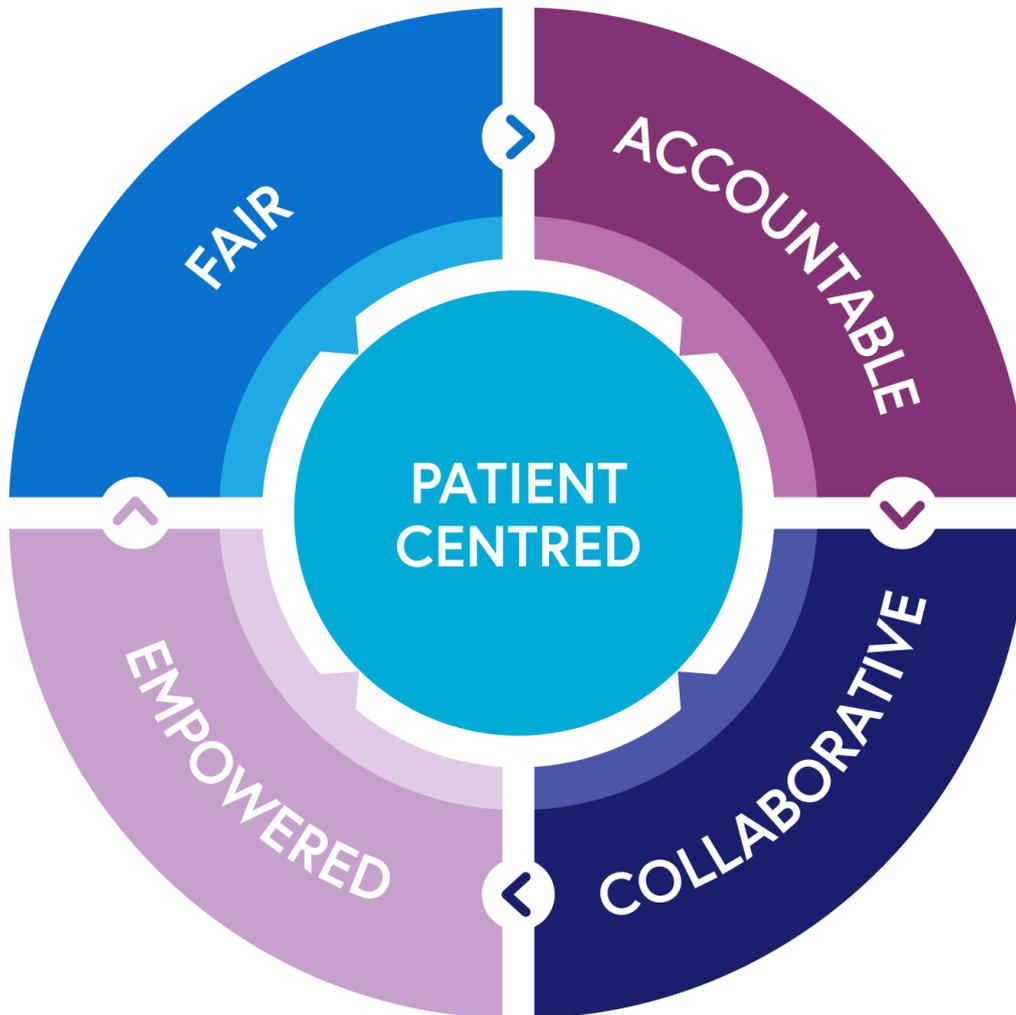
## **9. Recommendation**

The Board are invited to endorse their support to the Code of Conduct for Directors at Leeds Teaching Hospitals NHS Trust and recognise their personal duties to role model exemplary behaviours.

**Those not present at the meeting, will be required to confirm outside the meeting and an audit trail recorded within the minutes.**

**Jo Bray  
Company Secretary  
1 May 2024**

The Code of Conduct for the Board of Directors at Leeds Teaching Hospitals NHS Trust support the values as defined by The Leeds Way; Patient Centre, Collaborative, Fair, Accountable, Empowered



**Patient-centre**

We act with compassion, empathy and kindness towards those in our care and to each other.

We consistently deliver high quality, safe and dignified care, focusing on individual needs.

**Fair**

We seek to understand the perspective of others, respecting and embracing our differences.

We champion inclusivity by prioritising fairness & equality.

**Collaborative**

We are all one team with a common purpose and value the contribution of others.

We work in partnership with our patients, their families and carers, our colleagues and other providers.

**Accountable**

We keep our promises, agree clear expectations and will speak up to respectfully hold ourselves and each other to account.

We are true to our word and act with integrity and honesty with our patients, colleagues and communities.

## Empowered

We empower our patients and colleagues to have a voice and make decisions, and are considerate of their choices.

We celebrate innovation, and we take personal responsibility for our learning.

## Refreshing our values

In 2022 we invited colleagues to come together and share their views to reflect, connect and commit to The Leeds Way. Our newly simplified behaviours listed above better reflect what staff told us was missing. This includes compassion and kindness towards each other, working as one team towards common goals and speaking up to respectfully hold ourselves and each other to account.

From this we created **Living The Leeds Way**, which is the golden thread that ties all of us working at Leeds Teaching Hospitals together. In an organisation of our size and make-up, we all need to live The Leeds Way individually to be able to collectively make change.

## Board of Directors - Code of Conduct

The Code of Conduct is taken from the Nolan Principles and best practice guidance to define governance of Boards.

### 1. Introduction

High standards of corporate and personal conduct are an essential component of public services. As an NHS Trust, The Leeds Teaching Hospitals NHS Trust is required to comply with the principles of best practice applicable to corporate governance in the NHS/health sector and with any relevant code of practice. The purpose of this code is to provide clear guidance on the standards of conduct and behaviour expected of all Directors (in addition to the standard for employees set out in the Trust's policy Managing Conflicts of Interests).

This code, with the NHS Constitution, forms part of the framework designed to promote the highest possible standards of conduct and behaviour within the Trust. The Code is intended to operate in conjunction with governance best practice, the NHS Constitution and with Standing Orders. The Code applies at all times when Directors are carrying out the business of the Trust or representing the Trust. Directors will recognise that the Board of Directors is collectively responsible for the exercise of its powers and the performance of the Trust

### 2. Principles of Public Life

All Directors are expected to abide by the Nolan principles of: selflessness, integrity, objectivity, accountability, honesty, transparency and leadership:

- Selflessness - Holders of public office should act solely in terms of the public interest: they should not do so in order to gain financial or other benefits for themselves, their family or their friends.
- Integrity - Holders of public office should not place themselves under any financial or other obligation to outside individuals or organisations that might seek to influence them in the performance of their official duties.
- Objectivity - In carrying out public business, including making public appointments, awarding contracts, or recommending individuals for rewards and benefits, holders of public office should make choices on merit alone.

- Accountability - Holders of public office are accountable for their decisions and actions to the public and must submit themselves to whatever scrutiny is appropriate to their office.
- Openness - Holders of public office should be as open as possible about all the decisions and actions they take: they should give reasons for their decisions and restrict information only when the wider public interest clearly demands.
- Honesty - Holders of public office have a duty to declare any private interests relating to their public duties and to take steps to resolve any conflicts arising in a way that protects the public interest.

### 3. General Principles

The Board of Directors has a duty to conduct business with probity, to respond to staff, patients and suppliers impartially, to achieve value for money from the public funds with which they are entrusted and to demonstrate high ethical standards of personal conduct. The general duty of the Board of Directors, and of each Director individually, is to act with a view to promoting the success of the organisation so as to maximise the benefits for the members of the local community and for the wider public. The Board of Directors therefore undertakes to set an example in the conduct of its business and to promote the highest corporate standards of conduct. The Board of Directors will lead in ensuring that the provisions of the NHS Constitution, the Standing Orders, Financial Standing Orders and accompanying Scheme of Delegation conform to best practice and serve to enhance standards of conduct. The Board of Directors expects that this Code will inform and govern the decisions and conduct of all Directors.

### 4. Confidentiality & Access to Information

Directors must comply with the Trusts confidentiality policies and procedures. Directors must not disclose any confidential information, except in specified lawful circumstances.

Information on decisions made by the Board of Directors and information supporting those decisions should be made available in a way that is understandable. Positive responses should be given to reasonable requests for information and in accordance with the Freedom of Information Act 2000 and other applicable legislation and Directors and employees must not seek to prevent a person from gaining access to information to which they are legally entitled.

The Trust has adopted policies and procedures to protect confidentiality of personal information and to ensure compliance with the Data Protection Act, GDPR, the Freedom of Information Act and other relevant legislation which will be followed at all times by Board of Directors and all staff.

### 5. Register of Interests

Directors are required to register all relevant interests on the Trust's register of interests in accordance with NHS E and Trust policy for Managing Conflicts of Interest. It is the responsibility of each Director to update their register entry if their interests change. Failure to register a relevant interest in a timely manner will constitute a breach of this Code.

### 6. Conflicts of Interest

Directors have a statutory duty to avoid a situation in which they have (or can have) a direct or indirect interest that conflicts (or possibly may conflict) with the interests of the

Trust. Directors have a further statutory duty not to accept a benefit from a third party by reason of being a Director or for doing (or not doing) anything in that capacity.

If a Director has in any way a direct or indirect interest in a proposed transaction or arrangement with the Trust, the Director must declare the nature and extent of that interest to the other Directors. If such a declaration proves to be, or becomes, inaccurate or incomplete, a further declaration must be made. Any such declaration must be made at the earliest opportunity and before the Trust enters into the transaction or arrangement.

The Chair will advise Directors in respect of any conflicts of interest that arise during Board of Directors meetings, including whether the interest is such that the Director should withdraw from the meeting for the period of the discussion. In the event of disagreement it is for the Board of Directors to decide whether a Director must withdraw from the meeting. The Trust Board Secretary will provide advice on any conflicts that arise between meetings.

#### 7. Gifts & Hospitality

The Board of Directors will set an example in the use of public funds and the need for good value in incurring public expenditure. The use of the Trust for hospitality and entertainment, including hospitality at conferences or seminars, will be carefully considered. All expenditure on these items should be capable of justification as reasonable in the light of the general practice in the public sector. The Board of Directors is conscious of the fact that expenditure on hospitality or entertainment is the responsibility of management and is open to be challenged by the internal and external auditors and that ill-considered actions can damage the reputation of the Trust in the eyes of the community.

The Board of Directors adheres to NHSE and Trust policy on Managing Conflicts of Interest with regard to the offer of any interests, gifts and hospitality which will be followed at all times. Directors must not accept gifts or hospitality other than in compliance with this policy and where declined will be recorded in the register of interests. This policy requires adherence to the Bribery Act 2011.

#### 8. Freedom to Speak Up (*formerly Whistle-blowing*)

The Board of Directors acknowledges that staff must have a proper and widely publicised procedure for voicing complaints or concerns about maladministration, malpractice, breaches of this code and other concerns of an ethical nature. The Board of Directors has adopted a Freedom to Speak Up Policy with the appointment of Guardians to support staff raising matters of concern which will be followed at all times by directors and all staff.

#### 9. Personal conduct

Directors are expected to conduct themselves in a manner that reflects positively on the Trust and not to conduct themselves in a manner that could reasonably be regarded as bringing their office or the Trust into disrepute.

Specifically Directors must:

- Act in the best interests of the Trust and adhere to its values and this Code of Conduct
- Respect others and treat them with dignity and fairness
- Seek to ensure that no one is unlawfully discriminated against and promote equal opportunities and social inclusion
- Be honest and act with integrity and probity

- Contribute to the workings of the Board of Directors as a member in order for it to fulfil its role and functions
- Raise concerns and provide appropriate challenge regarding the running of the trust or a proposed action where appropriate
- Recognise the differing roles of the Chair, Senior Independent Director, Chief Executive, Executive Directors and Non-Executive Directors
- Make every effort to attend meetings where practicable.
- Adhere to good practice in respect of the conduct of meetings and respect the views of others
- Take and consider advice on issues where appropriate
- Not use their position for personal advantage or seek to gain preferential treatment; nor seek improperly to confer an advantage or disadvantage on any other person
- Accept responsibility for their performance, learning and development

#### 10. Compliance

The members of the Board of Directors will satisfy themselves that the actions of the Board of Directors and Directors in conducting Board business, fully reflect the values, general principles and provisions in this Code and, as far as is reasonably practicable, that concerns expressed by staff or others are fully investigated and acted upon. All Directors, on appointment, will be required to give an undertaking to abide by the provisions of this Code of Conduct.