
CONDUCT - STANDARDS OF

Overview

This document

This document covers the following topics relating to the Auckland District Health Board Standards Of Conduct.

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Auckland District Health Board Mission

The Auckland District Health Board will provide New Zealand's finest comprehensive health service through excellence and innovation in patient care, education, research and technology.
He aha te mea nui i tenei ao? Maku e kii atu:

He tangata!

He tangata!

He tangata

What is the greatest treasure on earth?

It is people!

It is people!

It is people!

Message from the Board

We wish to develop Auckland District Health Board as a centre of excellence. The Board's mission statement clearly records our commitment to excellence in delivering high quality Healthcare. To achieve these objectives, our organisation, must constantly seek and implement flexible and innovative ways to achieve our business objectives. Within this environment, we must continue to perform on a high ethical level to maintain our valuable reputation - which is critical to our longer term success.

It is important that each of us clearly understand our responsibilities for conducting ourselves in accordance with the policies and procedures that express the Board's business ethical standards. This "Standards of Conduct" policy summarises these standards to enhance understanding and to enable each of us to properly conduct Board business.

By consistently applying high ethical standards we will continue to support a work environment that is conducive to individual and ADHB success as well as providing a quality service to consumers.

Section: Guiding Principles
File: Conduct.doc
Classification: PP01/PGP/006.DOC

Issued by: Chief Executive Officer
Authorised by: Auckland District Health Board
Date issued: Updated April 2002

CONDUCT - STANDARDS OF

Introduction

Purpose

To guide employees, Members and all representatives of the Board so that their business conduct and decision making is consistent with the Board's ethical standards.

To improve the understanding of the Board's ethical standards among consumers, suppliers and other stakeholders.

Disclosure

Throughout this policy situations are identified where employees are required to seek clarification or make certain disclosures.

Unless a higher level of disclosure is specified the principle of "one removed" applies to these situations whereby clarification/disclosure should be achieved by consultation with the individual **one senior** to the individual seeking clarification or making the disclosure.

Associated documents

The table below indicates other documents associated with this policy.

Type	Document Title(s)
Board Policy Manual	<ul style="list-style-type: none"> • Human Resource Principles • Sponsorship: Supplier provided • Conflict of Interest • Expenses – Work Related • A+ Probity Policy
Delegated Authority	<ul style="list-style-type: none"> • Delegated Authority

Definitions

Consumer - any individual or organisation receiving a service from ADHB. i.e. patient/client/resident/customer.

CONDUCT - STANDARDS OF

Shared Responsibilities

Individual Accountability

ADHB is committed to delivering quality health services while upholding the highest level of ethical conduct and meeting our responsibilities as a good corporate citizen. In this regard, the Board and all ADHB employees and representatives share certain responsibilities, but individually each is accountable for:

- Adhering to ADHB standards for safe operation of facilities, for providing safe services and products and for protection of the environment.
- Treating all consumers and suppliers in an honest and fair manner.
- Complying with the Board's Bicultural Policy.
- Conducting the Board's business with integrity and operating in compliance with all applicable laws.
- Minimising situations where personal interests are, or appear to be, in conflict with Board interests.
- Safeguarding and properly using Board proprietary information, assets and resources, as well as those of consumers and other organisations entrusted to ADHB.
- Maintaining confidentiality of non public information about ADHB, its employees and its consumers.

Underlying these basic responsibilities is the philosophy that we must maintain respect and dignity for the individual and ensure each person is fairly treated.

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Customer Supplier Relations

Protecting ADHB's reputation

ADHB does not seek to gain any advantage through the improper use of business courtesies or other inducements. Good judgment and moderation must be exercised to avoid misinterpretation and adverse effect on the reputation of the Board or its employees. Offering, giving, soliciting or receiving any form of bribe is prohibited.

Accepting Business Courtesies

Generally gifts, favours, entertainment or other inducements may not be accepted by employees from any person or organisation that does or seeks business with, or is a competitor of, the Board except as common courtesies usually associated with customary business practices. (see A+ Probity Policy)

ADHB recognises that suppliers may wish to provide sponsorship to employees and the Board Policy - Sponsorship: Supplier Provided, explains the circumstances where this is appropriate and the disclosures which should be made.

It is never acceptable to accept a gift in cash or cash equivalent.

Any gift, favour or entertainment received by an employee which could reasonably be perceived by an independent person to influence the judgment of the employees should be disclosed to the employee's service manager.

Giving Business Courtesies

Gifts, favours and entertainment may be given if they:

- Are not excessive in value and cannot be construed as a bribe or payoff.
 - Are not in contravention of applicable law or ethical standards.
- Would appear reasonable if they were subject to independent scrutiny
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Customer Supplier Relations, Continued

**Business
Inducements**

Customer rebates, discounts, credits and allowances are customary business inducements, but careful attention is needed to avoid illegal or unethical payments and to ensure compliance with tax regulations.

Generally, there are few occasions when it would be appropriate to offer a business inducement to a District Health Board purchaser organisation. Any such business inducements must be reasonable in value, competitively justified, properly documented and made to the business entity to whom the invoice was made/issued.

They should not be made to individual officers, employees or agents of such entity or to a related business entity.

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Conflicts Of Interest

Acknowledged Conflicts

ADHB recognises that some employees, such as medical staff, who provide services to other organisations/consumers, will be placed in a position of competition. In these situations the employee should work with management to ensure the potential adverse effect of any conflict of interest is minimised.

Discussions of Strategy or Competitive Advantage

There may be occasions where part-time employees who also provide competitive services or services to a competitor are involved in discussions of strategy or competitive advantage regarding a Service. If a conflict of interest exists the employee is required to disclose that a conflict exists to their Service Manager. The Service Manager and the employee can then decide whether the employee should continue to be involved in the discussions.

Avoidance Of Conflict

Employees should avoid, wherever possible, any situation that may involve a conflict between their personal interests (including family and business interests) and the interests of the Board. In dealings with current or potential consumers, suppliers, contractors and competitors, employees should act in the best interests of the Board and consumers.

Disclosure

Each employee shall make prompt and full disclosure in writing to their service manager of any situation which may involve a conflict of interest. This includes:

- Ownership by an employee, or a family member, of a significant financial interest in any outside enterprise which does or seeks to do business with, or is a competitor of, ADHB. A financial interest would be considered significant if the magnitude of the interest could reasonably be expected to influence the judgment of the employee.
- Serving as a director, officer, partner, consultant or in any other key role in any outside enterprise which does or seeks to do business with, or is a competitor of, the Board.
- Acting as a broker, finder or other intermediary for the benefit of a third party in transactions involving the Board or its interests.
- Being party to a purchasing decision where a potential supplier has provided gifts, favours, discounts or entertainment to the employee.

Any other arrangement or circumstance, including family or other personal relationships, which might dissuade the employee from acting in the best interest of the Board.

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Protection and Use of Assets

Responsibility of Employees

Proper protection and use of Board assets, including proprietary information, is a fundamental responsibility of each employee.

Employees must comply with site security programmes to safeguard physical property and other assets against unauthorised use or removal, as well as against loss by criminal act or breach of trust.

Employees also have a responsibility to take action to minimise waste or inefficiency.

Internal Controls

The Board has established accounting control standards and procedures to ensure that assets are protected and properly used and that financial records and reports are accurate and reliable.

Employees share the responsibility for maintaining and complying with required internal controls and advising an appropriate level of management of any breaches of internal control procedures.

Financial Reporting Integrity

All Board financial reports, accounting records, revenue reports, expense accounts, time sheets and other documents must accurately and clearly represent the relevant facts or the true nature of a transaction. Improper or fraudulent accounting, documentation or financial reporting are contrary to Board policy and may also be in violation of applicable laws. Intentional accounting misclassifications (e.g., cost versus capital) and improperly accelerating or deferring expenses or revenues would be examples of unacceptable reporting practices.

Electronic Information

Board data transmitted and/or stored electronically are assets requiring unique protection. Each data user throughout the Board is responsible for compliance with Information Systems standards and related procedures.

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Protection and Use of Assets, Continued

Travel and Entertainment

Travel and entertainment should be consistent with the needs of the Service. The Board's intent is that an employee neither lose nor gain financially as a result of business travel and entertainment. Employees are expected to spend the Board's money carefully and will only be reimbursed for actual expenditure.

Employees who approve travel and entertainment expense reports are responsible for the propriety and reasonableness of expenditures, for ensuring that expense reports are submitted promptly and that receipts and explanations properly support reported expenses.

There is an onus on all employees to ensure expenditure is not extravagant and would most likely be considered reasonable if it were subject to independent scrutiny.

Strategic Information

Confidential ADHB information (including business strategies, pending contracts or financial projections) may not be given or released, without proper authority, to anyone not employed by the Board, or to an employee who has no need for such information.

Non public information obtained as a consequence of ADHB employment (including information about consumers and employees, suppliers or competitors, real estate acquisitions, research activities, proposed acquisitions or divestitures) may not be used for the personal advantage of the employee or of anyone as a result of association with the employee.

Competitive Intelligence

While collecting data on our competitors, we should utilise all legitimate resources, but avoid those actions which are illegal, unethical or which could cause embarrassment to Auckland District Health Board.

CONDUCT - STANDARDS OF

Valuing Individual Diversity

Human Resource Principles

The Board policy “Human Resource Principles” outlines the guidelines and principles under which other Human Resource policies have been developed.

Respect of Individuals Rights

In the conduct of Board business, the rights and cultural differences of individuals should be respected.

Unlawful Discrimination

Unlawful Discrimination on the basis of any of the following will not be tolerated:

- Sex
 - Marital Status
 - Religious Belief
 - Ethical Belief
 - Colour
 - Race
 - Ethnic or National Origin
 - Disability
 - Age
 - Political opinion
 - Employment Status
 - Family Status
 - Sexual orientation
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Harassment

Harassment of any type will not be tolerated.

CONDUCT - STANDARDS OF

Compliance - When In Doubt

Seek Clarification

As a condition of employment with ADHB, employees are expected to comply with the Board's standards of business conduct, policies and procedures. When in doubt, employees have the responsibility to seek clarification from their management or, if necessary, from the Legal Counsel, Quality and Safety Manager or Internal Auditor. Violations of the ADHB standards of conduct are grounds for disciplinary action up to and including dismissal and legal prosecution.

Reporting Abuse

All employees benefit from an atmosphere of good ethical conduct. Unethical conduct could seriously damage the reputation of the Board and all employees.

Employees who are aware of suspected misconduct, fraud, abuse of ADHB assets or other violations of Board Policy are responsible for reporting such matters to an appropriate level of management or, if they prefer, to the Internal Auditor. Every effort will be made to protect the identity of the reporting employee. The Internal Auditor can be reached by calling extension 3604 or for external callers 631 0704.