

## **1.0 Policy Statement**

This policy is to secure the integrity and value for those qualifications we deliver, assess and reward, to protect the impartiality of all staff and to ensure the business values of Honesty and Integrity are fulfilled.

This policy applies to all forms of assessment and certification of accredited qualifications which apply to students of LI Europe and its partner/sub-contracted organisations.

## **2.0 Purpose of the Policy**

The purpose of this policy is to protect our integrity as a business and the integrity of the qualifications we deliver, assess, and verify and award. The policy is also designed to protect our employees and partners by providing guidance on handling possible conflicts of interest that may arise in the course of their duties.

## **3.0 Introduction to Conflict of Interest**

A conflict of interest is a situation in which an individual, or organisation, has competing interests or loyalties. In the case of an individual, the conflict of interest could compromise, or appear to compromise, their decisions if it is not properly managed. The outcome may lead to the perceived, or actual, advantage or disadvantage, of one or more students in relation to assessment decisions and the awarding of certificates/qualifications.

The business seeks to take positive steps to prevent malpractice by trainers, assessors, invigilators and other staff, and any proven instances where a conflict of interest has resulted in malpractice will be viewed as a serious breach of professional conduct and will be subject to the LI Europe Disciplinary Procedure.

## **4.0 Scope of the Policy**

In this instance the term 'employee' will include:

- Those employed by the business on a full-time, part-time, temporary, casual contract, apprenticeship.
- Internal and external teachers, trainers, assessors, verifiers, and moderators.
- Those employed by partner or subcontracted organisations or working on behalf of partners and sub-contractors.
- Related People; those with whom the member of staff has a close relationship such as, spouses, children and siblings, but would also include close friends, relatives and members of the household where there is regular contact, such that privileged information might be shared inappropriately. A step-relative, cousin, niece, etc., would count if the contact with that person was close and frequent.

## **5.0 Reporting conflicts of interest**

All employees are to report to the Company Director immediately where there might be a conflict of interest. Each instance will be considered on a case-by-case basis. The individual member of staff and line manager are equally responsible for ensuring that the issue is documented carefully and retained for reference/auditing purposes.

### **5.1 Four steps to reporting a conflict of interest**

#### **1. Identify staff**

You will need to identify employees who could have a Conflict of Interest, for example, this will include assessors, office employees, and invigilators.

#### **2. Get staff declarations**

These employees must declare whether they have 'Related People' entered for an examination/assessment at your or another centre, i.e., they declare an interest.

3. Record the conflicts

Where these staff declare an interest, record the steps you are taking to manage the risk represented by any Conflict of Interest. For example, this could include removing their access to the office/shared drives or ensuring they will not invigilate examinations in which 'Related People' are present.

Records must identify the relevant member of staff, the name, relationship and, where necessary, the centre of the 'Related People' and the nature of any potential conflict.

The records must also include the details of any relevant staff/apprentice entered for an examination/assessment and the steps we are taking to manage this Conflict of Interest. These arrangements must include ensuring they have no access to confidential material.

4. Tell the awarding bodies about specific conflicts

The Office Manager must inform the awarding body/bodies if one or more of the following occurs:

- Any employee is entered for an examination or assessment.
- Any employee (including invigilators), with access to the secure storage facility, has 'Related People' sitting examinations, whether that is at your centre or elsewhere. This includes an employee who has access to both confidential assessment materials and is also entered for an examination at another centre.
- Any employee/s who are involved in making assessment decisions for 'Related People' within your business and where they can mark and externally moderate components/units. (Awarding bodies are to be informed in accordance with awarding body procedures).

A copy of the declaration must be forwarded to the Office Manager to inform a central log.

## 6.0 Dealing with Conflicts of Interest

Any allegation of malpractice associated with a conflict of interest by an employee will be investigated according to the Policy.

- If the conflict of interest has been previously reported and steps put in place to manage any conflict, then the impact of those measures will be reviewed.
- If the investigation considers a case of malpractice, then this will be treated as potential Gross Misconduct and will be investigated by the Company Director. If evidence of malpractice is found, the procedure for a Disciplinary Hearing and any subsequent penalties and appeals will be carried out according to the businesses Disciplinary Procedure.
- In all such cases, the awarding body will be informed, and the release of results/ certificates may be withheld by the awarding body. This will be subject to the policies and procedures of the awarding body.
- The business will retain the right to involve the learner and others in the investigation process, and learners will have the right to be accompanied.

## **7.0 Related Policies and procedures**

- LIEURAPP22001 – Apprenticeship Continuity Plan
- LIEURAPP22002 – Equality and Diversity Policy
- LIEURAPP22003 – Safeguarding Adults Policy
- LIEURAPP22004 – Prevent Duty Policy
- LIEURAPP22005 – Health & Safety Policy
- LIEURAPP22006 – Concerns, Complaints and Compliments Policy
- LIEURAPP22007 – Recognition of Prior Learning Policy
- LIEURAPP22008 – Quality and High Standards in Apprenticeship Training Policy
- LIEURAPP22009 – Employee Professional Development Policy
- LIEURAPP22011 – GDPR Policy
- LIEURAPP20014 – Safer Recruiter Policy
- LIEURAPP22017 – Functional Skills Subcontracting Policy
- LIEURAPP22018 – Intervention Policy
- LIEURAPP22019 – Plagiarism and Malpractice Policy
- LIEURAPP22020 – External Speaker Policy
- LIEURAPP22021 – Bullying and Harassment Policy
- LIEURAPP22022 – Additional Learning Support Policy
- LIEURAPP22023 – Whistleblowing Policy
- LIEURAPP22024 – Malpractice in Certification and Assessment Policy
- LIEURAPP22025 – Recruitment of Ex-Offenders Policy
- LIEURAPP22026 – Academic Appeals Policy
- LIEURAPP22027 – Apprenticeship Code of Conduct
- LIEURAPP22028 – Conflict of Interest Policy

Policies are reviewed in January on an annual basis.

Company Director 

Date 22/11/23