ACL Conflict of Interest Policy (Exams)

# Control of document

This policy is issued, controlled, and may only be modified by the designated policy group member after proposed amendments have been presented to the Curriculum Quality and Development Group.

The latest version of the policy will be maintained by the Adult Community Learning Service (ACL) and updates sent to all Managers.  It is important that the latest version of the policy is used at all times.

# Policy aims and intentions

The Conflict-of-Interest Policy enhances the Examination Policy by collating any perceived conflict of interest between assessment staff and learners and documents how this is managed and recorded.

Anyone involved in the development, delivery, assessment, or award of examined qualifications has an obligation to act in a way that does not lead to a conflict of interest.

The aim of this policy is to ensure that ACL can:

* provide a mechanism to protect individuals and ACL against criticism or compromise by ensuring that all reasonable steps are taken to avoid any conflict of interests
* identify conflicts of interest and if necessary, take action to minimise or eliminate any adverse effects that they cause
* comply with Ofqual’s regulatory requirements and those of any other relevant regulatory or industry bodies

# Responsibility Group

ACL Curriculum, Quality and Development Group

# Policy Writer

ACL Exam Lead

# Date of acceptance

November 2022

# Last review date

August 2023

# Next review date

September 2024

# Audience

All ACL Staff, and learners. The term learners is inclusive of apprentices.

# Stored location

All policies to be stored on ComEd Pool/Policies and Strategies.

All policies intended for learners to be available on the VLE within ACL Policies (Learners)

All policies intended for tutors and staff to be available on the VLE within ACL Policies (Staff)

# The Policy

All teaching staff who are responsible for internally assessment elements of external qualifications are contacted at the start of the course to declare any potential conflict of interest due to a personal relationship with a learner on their course. A conflict of interest may exist where a tutor has a close personal relationship with a learner which includes step/foster family or similar close relationships as well as close friends and their immediate family

Where there is a conflict of interest the tutor completes the declaration of interest form (Appendix A) and returns it to the exams leads to be logged. Depending on the nature of the declaration, a statement of how the conflict will be managed is documented and the awarding body informed of the steps being taken.

For example, a GCSE English tutor delivering a course to a close personal friend would not be permitted to assess or verify NEA elements of the course, such as speaking and listening. An independent internal verifier would be put in place for this learner’s assessment.

Appendix A

Declaration of Interest form 2023/24

To comply with the regulations, the centre is required to manage Conflicts of Interest and inform the relevant awarding body/bodies for any of their qualifications of:

* any members of centre staff who are taking qualifications at their own centre which include internally assessed components/units.
* any members of centre staff who are teaching and preparing members of their family (which includes stepfamily, foster family, and similar close relationships) or close friends and their immediate family (e.g., son/daughter) for qualifications which include internally assessed components/units; **and**

maintains clear records of **all instances** where:

* exams office staff have members of their family (which includes stepfamily, foster family, and similar close relationships) or close friends and their immediate family (e.g., son/daughter) being entered for examinations and assessments either at the centre itself or other centres.
* centre staff are taking qualifications at their centre which **do not** include internally assessed components/units.
* centre staff are taking qualifications at other centres.

To ensure compliance, you must declare (by ticking) any of the statements that apply to you and complete the required information in the white boxes.

|  |  |  |  |
| --- | --- | --- | --- |
| Your name |  | Your job title (s) |  |

|  |
| --- |
| Subject(s) you teach (if applicable to your role) |
|  |

Please tick any statement/statements that applies/apply to you and complete the required information (or will apply to you during the 2023/24 academic year)

* I am taking a qualification(s) at this centre which includes an internally assessed component/unit

|  |  |  |  |
| --- | --- | --- | --- |
| Qualifications I am taking | Awarding Body | Qualification Type | Specification (Subject) |
|  |  |  |  |

|  |
| --- |
| Steps I have taken to seek an alternative centre at which to take the qualification(s) |
|  |

* I am teaching and preparing a member of my family (which includes stepfamily, foster family, and similar close relationships) or close friends and their immediate family (e.g., son/daughter) for a qualification(s) which includes an internally assessed component/unit.

(Where more than one related person, please complete a separate form)

|  |  |
| --- | --- |
| Name of related person (the candidate) |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Candidate number** |  | **Relationship to me** |  |

|  |  |  |  |
| --- | --- | --- | --- |
| Qualification(s) being taught and prepared for | Awarding Body | Qualification Type | Specification (Subject) |
|  |  |  |  |

* I am a member of exams office staff and have a member of my family (which includes stepfamily, foster family, and similar close relationships) or close friends and their immediate family (e.g., son/daughter) being entered for examinations and assessments at this centre or another centre

(Where more than one related person, please complete a separate form)

|  |  |
| --- | --- |
| Name of related person (the candidate) |  |
| Where the candidate is being entered | □ This centre □ Another entering centre (tick box as applies) |

|  |  |  |  |
| --- | --- | --- | --- |
| Candidate number (if this centre) |  | Relationship to me |  |

|  |  |
| --- | --- |
| Entering centre name (if not this centre) |  |
| Entering centre number (if known) |  |

* I am taking a qualification at this centre which does not include internally assessed components/units
* I am taking a qualification at another centre

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Qualifications I am taking | Awarding Body | Qualification Type | Specification (Subject) | Exam Series |
|  |  |  |  |  |

|  |  |
| --- | --- |
| Entering centre name |  |
| Entering centre number (if known) |  |

* I have none of the above statements to declare

Date declaration(s) made: Signature to confirm declaration(s):

This completed form (including date and signature) must be returned to the Exams Office and Curriculum Lead as soon as you are aware that any of the above statements relate to you.

The declaration(s) you have provided will be used to inform the relevant awarding body/bodies (where required) and to record details of the measures taken to mitigate any potential risk to the integrity of the qualifications affected. You will be informed if/where any measures or protocols put in place directly affect you

All records are subject to inspection by the JCQ/awarding body on request and will be retained until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later (for the relevant exam series).

**FOR HEAD OF CENTRE/EXAMS OFFICER USE ONLY**

|  |  |
| --- | --- |
| Date | Action |
|  | Completed Declaration form received |
|  | Declaration(s) recorded on Conflict of Interest (COI) log |
|  | Awarding body/bodies informed of specific COI (where applicable) |
|  | Staff member informed of measures/protocols in place to manage the risk represented by the COI |

If you require this document in any other format, please email [jaimie.huckfield@essex.gov.uk](mailto:jaimie.huckfield@essex.gov.uk) stating the document name in full and the format you need.