

# **CONFLICTS OF INTEREST POLICY**



## Conflicts of Interest Policy

Three Dimensional Training starts from a position of trusting the professionalism of the Tutors we employ, and this trust underlies any attempt to handle questions which raise potential conflicts of interest. Yet the damage to the reputations of individuals and 3D Training caused by conflicts of interest could be considerable.

In order to protect individual staff members and 3D TRAINING from compromise, it is both necessary and helpful to settle a policy to deal with Conflicts of Interest.

### Definition

A conflict of interest may generally be defined as a conflict between the official responsibilities of a tutor, assessor, and internal verifier and any other interests the particular individual may have and as such could compromise or appear to compromise their decisions.

Condition A4 in the Ofqual General Conditions of Recognition 2011 states that a conflict of interest exists in relation to an Awarding Organisation where:

Condition A4 in the OFQUAL General Conditions of Recognition 2016 states that a conflict of interest exists in relation to an Awarding Organisation where:

- (a) its interests in any activity undertaken by it, on its behalf, or by a member of its Group have the potential to lead it to act contrary to its interests in the development, delivery and award of qualifications in accordance with its Conditions of Recognition,*
- (b) a person who is connected to the development, delivery or award of qualifications by the awarding organisation Has interests in any other activity which have the potential to lead that person to act contrary to his or her interests in that development, delivery or award in accordance with the awarding organisation's Conditions of Recognition, or*
- (c) an informed and reasonable observer would conclude that either of these situations was the case. Identifying conflicts of interest*

#### A4.2

*An awarding organisation must identify and monitor :-*

- (a) all conflicts of interest which relate to it, and*
- (b) any scenario in which it is reasonably foreseeable that any such conflict of interest will arise in the future. Managing conflicts of interest*

#### A4.3

*An awarding organisation must take all reasonable steps to ensure that no conflict of interest which relates to it has an Adverse Effect.*

#### A4.4

*Where such a conflict of interest has had an Adverse Effect, the awarding organisation must take all reasonable steps to mitigate the Adverse Effect as far as possible and correct it.  
Interests in assessment*

**A4.5**

*An awarding organisation must take all reasonable steps to avoid any part of the assessment of a Learner (including by way of Moderation) being undertaken by any person who has a personal interest in the result of the assessment.*

**A4.6**

*Where, having taken all such reasonable steps, an assessment by such a person cannot be avoided, the awarding organisation must make Guidance to the General Conditions of Recognition.*

*Referring to General Conditions of Recognition July 2016*

*Guidance to the General Conditions of Recognition Ofqual 2016 - 12 arrangements for the relevant part of the assessment to be subject to scrutiny by another person.*

*The written conflict of interest policy*

**A4.7**

*An awarding organisation must establish, maintain, and at all times comply with an up to date written conflict of interest policy, which must include procedures on how the awarding organisation intends to comply with the requirements of this condition.*

**A4.8**

*When requested to do so by Ofqual in writing, an awarding organisation must promptly submit to Ofqual its conflict of interest policy, and must subsequently ensure that the policy complies with any requirements which Ofqual has communicated to it in writing. For the purposes of the guidance to this condition, a 'senior examiner' in respect of a qualification is a person who is employed or contracted by an awarding organisation to perform one of the roles outlined below –*

*Chair of examiners - the person responsible to the awarding organisation for maintaining standards across different specifications in a subject within a qualification and from year to year.*

*Chief examiner – the person responsible to the chair of examiners for ensuring that assessments for a qualification meet the requirements of the specification and maintain standards from one year to the next.*

*Principal examiner – in relation to each unit or component of a qualification, the person responsible for the setting of the question paper/task and the standardisation of its marking*

It is the responsibility of each individual to recognise situations in which they have a conflict of interest, or might reasonably be seen by others to have a conflict; to disclose this conflict and to take such further steps as may be appropriate.

Should any member of staff feel they are in a position giving rise to an actual or potential conflict of interest, they must contact one of 3D Training's Directors as a matter of urgency. Appropriate steps will then be taken to deal with the conflict of interest situation in line with the Conflicts of Interest Policy.



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