

Conflicts of Interest Policy

Document reference	UKSEQ-POL-010
Policy area	Governance
Version	0.1 — Draft
Status	In development — not approved for operational use
Policy owner	UKSEQ Quality & Compliance Lead (proposed)
Approval authority	UKSEQ Board (proposed)
Effective date	To be confirmed upon approval
Review frequency	Annually and following material change
Next review	12 months after approval

1. Purpose and scope

This policy establishes the proposed UKSEQ approach to conflicts of interest. It applies to UKSEQ directors, employees, contractors, centres and learners as relevant to their roles. It will take effect only when formally approved and implemented. UKSEQ is not currently recognised by Ofqual or Qualifications Wales and does not currently award regulated qualifications.

2. Responsibilities

The Board is accountable for approving the policy and ensuring sufficient resources and independent oversight. The designated Quality & Compliance Lead is responsible for implementation, monitoring and escalation. Centres and authorised personnel must comply with applicable requirements, cooperate with reviews and maintain accurate records. Specific appointments and delegated authorities must be confirmed before the policy takes effect.

3. Principle

UKSEQ will identify, record and manage actual, potential and perceived conflicts that could compromise impartiality or public confidence.

4. Relevant relationships

Conflicts include ownership links, financial interests, family relationships, employment, consultancy, centre approval, assessment, IQA, EQA and certification decisions.

5. Declaration

Directors, employees, contractors, assessors, IQAs, EQAs and centre decision-makers must declare conflicts on appointment, annually and whenever circumstances change.

6. Register and assessment

A central register will record the parties, interest, affected activity, risk rating, mitigation, owner, review date and decision.

7. Controls

Controls may include recusal, independent review, separation of duties, restricted access, reassignment, additional sampling or refusal of an arrangement that cannot be safely managed.

8. Related-party centres

Any relationship between UKSEQ and JAR Site Solutions/JAR Academy or other connected providers must be disclosed and subject to enhanced independent approval, monitoring and certification safeguards. No preferential treatment is permitted.

9. Escalation and assurance

Undeclared or unmanaged conflicts must be escalated to the Board and may be investigated as malpractice. The Board will periodically review the register and effectiveness of controls.

10. Monitoring, records and review

Compliance will be monitored through management review, sampling, incident analysis and internal audit as appropriate. Records of decisions, exceptions, approvals and corrective actions must be maintained in approved secure systems. This policy will be reviewed annually, and sooner following relevant legal or regulatory change, material incident or identified weakness.

11. Related documents

This policy should be read alongside the UKSEQ policy suite, applicable qualification specifications, approved centre agreements and relevant statutory or regulatory requirements. In any conflict, applicable law and binding regulatory conditions take precedence.

Document control and approval

Prepared for consultation and Board review. Before issue, UKSEQ must confirm named accountable officers, contact routes, delegated decision rights, service standards, implementation evidence and any necessary regulatory cross-references.

Approved by	Pending
Approval date	Pending
Next scheduled review	12 months after approval