



ROOTS 4 LEARNING CIC

Conflicts of Interest Policy

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Signed by			
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Statement of intent

This policy sets out the framework for ensuring that the decisions and decision-making processes at Roots are, and are seen to be, free from personal bias and do not unfairly favour any individual or company connected with the centre.

Members of the Trust board and centre staff have an obligation to act in the best interests of the centre community to avoid situations where there may be a potential conflict of interest.

Situations may arise where family interests or loyalties conflict with those of the centre. Such interests may create problems as they can inhibit free discussions, result in decisions or actions that are not in the interests of the centre, and risk the centre's reputation.

The centre has created this policy to:

- Ensure that every trustee and staff member understand what constitutes a conflict of interest, and that they have a responsibility to identify and declare any conflicts that might arise.
- Record the conflict and the actions taken to ensure that the conflict does not affect the decision-making of the centre.

Legal framework

This policy has due regard to all relevant legislation and statutory guidance including, but not limited to, the following:

- The Companies Act 2006 (strategic Report and Directors' Report) Regulations 2013
- Data Protection Act 2018
- UK General Data Protection Regulation
- Charities Act 2011
- JCQ General Regulations

This policy has due regard to all relevant guidance including, but not limited to, the following:

- DfE (2020) 'Governance handbook'
- The Charity Commission (2014) 'Conflicts of Interest: a guide for charity trustees'
- The Charity Commission (2020) 'Managing conflicts of interest in a charity'
- ESFA (2023) 'Academy trust handbook 2023'

This policy operates in conjunction with the following centre policies:

- Finance Policy
- Tendering and Procurement Policy
- Reserves and Investment Policy

- Gifts, Hospitality and Anti-bribery Policy
- Whistleblowing Policy
- Asset Management Policy
- Anti-fraud and Corruption Policy
- Declared Conflicts of Interest Register
- Data Protection Policy
- Trust Board Code of Conduct
- Disciplinary Policy and Procedure

Definitions

In accordance with JCQ General Regulations, section 5.3.j, Roots4Learning has arrangements in place to identify, manage and, where necessary, report any potential conflicts of interest that may arise in the delivery, assessment or administration of qualifications. A conflict of interest is recognised as any situation where personal, professional or financial considerations could compromise, or be perceived to compromise, the integrity of assessment decisions or examination processes. All staff involved in assessment, internal quality assurance and examinations administration are required to declare any actual or potential conflicts of interest, including relationships with candidates. Appropriate measures will be taken to mitigate risks, such as reassignment of duties or increased oversight, and all conflicts and actions taken will be recorded and retained in line with regulatory requirements.

For the purpose of this policy, a person is defined as having a **business or pecuniary interest** if they have a monetary or financially vested interest in a business or service, which could prevent the individual from acting in the centre's best interests.

Conflicts of interest are any situations where an individual's personal interests or loyalties could, or could be seen to, prevent the individual from making a decision in the best interests of the centre. The most common types of conflict of interest can be separated into **financial conflicts** and **loyalty conflicts**.

Financial conflicts are when an individual is connected to a person and/or organisation and could receive money or something else of value from the selection of their decision. Individuals' expenses, e.g. trustee expenses, are not included in this definition.

Loyalty conflicts are unrelated to money or individual benefits; rather, these conflicts are concerned with other reasons relating to an individual's loyalty or duty to another organisation which would impair their decision-making in consideration to their obligation to prioritise the centre's best interest.

A **connected person** broadly relates to an individual's family, relatives, or business partner. To determine if an individual is considered connected in case-specific issues, we will seek legal advice if necessary.

The term **significant shareholder** refers to any individual or relative of an individual holding more than 20 percent of the share capital or exercising more than 20 percent of the voting power in an organisation.

An **interested party** is defined as a person who has a close relation to a person with a vested interest, e.g. a spouse.

At cost refers to the cost of a good or service (not including contracts of employment), without profit.

Roles and responsibilities

The Trust board will be responsible for:

- Ensuring that all members of staff, including volunteers, act in accordance with this policy at all times.
- Identifying any conflicts of interest that have not been previously declared.
- Making complete declarations on an **annual** basis, and ensuring they are up-to-date.
- Ensuring there are measures in place to manage and identify any conflicts of interest.
- Operating and making decisions in the best interests of pupils and the centre.
- Independently and objectively making decisions about executive pay and benefits, scrutinising each decision so conflicts of interest are avoided.
- Operating and making decisions in line with their charitable objectives, where applicable.

The Chair of Trustees will be responsible for:

- Ensuring, in liaison with the Co-Headteacher, that all members of the Trust board have declared any conflicts of interest, in accordance with the Declared Conflicts of Interest Register.
- Considering the risks associated with an individual who has declared a conflict of interest participating in any decision-making or voting and seeking advice from the centre's HR team.
- Setting professional standards of governance and accountability for the board.

The governance professional will be responsible for:

- Keeping an accurate and up-to-date record of interests for all trustees, staff and volunteers, which is reviewed **annually**, and can be accessed by relevant people, e.g. the Co-Headteacher.
- Keeping accurate meeting minutes.

The accounting officer will be responsible for:

- Being the trust's lead in financial matters, including a personal responsibility to government and to the ESFA's accounting officer.
- Completing and signing a statement on regularity, propriety and compliance each year and submitting this to the ESFA with the audited accounts.

- Ensuring the trust board is compliant with the trust's articles of association, funding agreement, and 'Academy trust handbook'.
- Notifying the ESFA's accounting officer immediately, in writing, if the board is not compliant.

The Co-Headteacher will be responsible for:

- Ensuring, in liaison with the Chair of Trustees, that all members of the Trust board have declared any conflicts of interest, in accordance with the Declared Conflicts of Interest Register.
- Ensuring that the Declared Conflicts of Interest Register is published on the centre website.
- Ensuring that any staff member who is responsible for proposing a course of action or handling the centre's budget has declared any conflicts of interest.
- Deciding who else is considered an 'interested party', and ensuring they declare any conflicts of interest.

Staff and volunteers will be responsible for:

- Declaring any conflicts of interest.
- Acting in accordance with this policy at all times.
- Identifying any conflicts of interest that have not been previously declared.
- Following the centre's Whistleblowing Policy where there are concerns that a conflict of interest has not been declared, and an individual might have subsequently benefitted.
- Ensuring that all individuals in a discussion do not have a vested interest in the subject.

Identifying conflicts of interest

All staff and volunteers will be able to demonstrate that they do not have a vested interest in any decision-making or budget spending. All staff and volunteers will remain objective and act within the best interests of the centre and its pupils.

Members of the Trust board will declare any conflicts of interest at an early stage and inform the relevant people, e.g. the Co-Headteacher. Members of the Trust board will ensure that any conflicts of interest do not prevent them from making a decision that would be in the best interests of the centre and its pupils.

Members of the Trust board and the relevant members of staff will declare the following interests:

- Holding another public office
- Being an employee, director, adviser or partner of another business or organisation
- Pursuing business opportunities
- Being a member of a club, society or association
- Having a legal or professional obligation to someone else

- Having a beneficial interest in a trust
- Owning or occupying a piece of land
- Owning shares or some other investment or asset
- Having received a gift, hospitality or other benefit from someone/an organisation
- Owning a debt to someone/an organisation
- Holding or expressing strong political or personal views that may indicate prejudice or predetermination for or against a person or issue
- Being a governor, associate member or trustee at any other educational establishment
- Being a spouse, partner, relative or close friend of someone who has one of these interests

All interests and connections that could influence the centre's reputation with the public will be declared.

Staff and volunteers that have a relative whom they know to have a declarable interest will declare this information.

If the trust's members or trustees have a relative whom they know to have relevant interests, this will be declared.

Only relevant interests will be declared, e.g. the spouse of the owner of a catering service when the centre is seeking a new catering company.

Any interests that do not directly benefit individuals or their relatives will not need to be declared, e.g., being a small shareholder in a large national company rather than a significant shareholder.

Identifying conflicts of loyalty

Members of the Trust board and relevant staff will declare any interest that might conflict with their loyalty to:

- Another organisation, such as their employer.
- A member of their family.
- Another connected person or organisation.
- Another Trust board or committee of which they are a member.
- The individual that appointed them to the Trust board.

Members of the Trust board will also be required to declare any conflicts of interest where their religious, political or personal views could interfere with their ability to make decisions in the best interests of the centre.

The register of interests

Each declaration of interest will be recorded on the centre's Declared Conflicts of Interest Register.

This register will allow all trustees and relevant employees to identify any business, commercial, financial or personal interests they have.

Details of each interest will be recorded on the register, including the following:

- The nature and name of the business and/or interest
- The date the interest began
- A brief description of duties or responsibilities
- The date of cessation of interest
- The date of entry onto the register
- Relevant material interests which occur through close family relationships between those individuals and employees.

The centre will keep a Declared Conflicts of Interest Register that details the nature of interests declared.

The declaration registers will be stored in the office where they can be accessed by the Co-Headteacher and Chair of Trustees, as well as inspected by Ofsted or anyone else who has a right to it to carry out their statutory duties.

The DPO will ensure that the registers are protected in accordance with the centre's Data Protection Policy.

The Trust board will decide who else has access to the registers, including other staff members, trustees and parents.

If an individual has no interest to declare, they will indicate this by stating 'nil' on their conflicts of interest form, before signing and dating the declaration.

If an individual is unsure whether they have a conflict of interest, the Co-Headteacher will advise the individual to declare any possible interests until they can confirm their interests at a later date.

Any conflicting interests or relationships will be described in sufficient detail using appropriate language to clarify under what circumstances an individual's position might be brought into question.

If a new interest becomes applicable during the centre year, it will be the responsibility of the individual concerned to amend the Declared Conflicts of Interest Register.

The Declared Conflicts of Interest Register will be published publicly on the centre website; however, certain interests of staff members may be omitted from the published copy, unless they are also a trustee or relevant member of staff.

The relevant business and pecuniary interests of members, trustees and accounting officers will be published publicly on the website.

The trust will have discretion over the publication of interests of other individuals named on the register.

Trustees will consider any other interests they deem relevant and, if there is any doubt, register them regardless.

The board of trustees will be responsible for keeping their register of interests up-to-date through regular review.

Trust board benefits

Members of the Trust board will only be permitted to benefit from the centre where there is an explicit authority in place in the centre's Trust document.

Trust board benefits will include any payments or benefits to members, or a connected person, apart from their reasonable out-of-pocket expenses. Benefits will also include situations where a member of the Trust board could receive property, loans, goods or services from the centre.

Where there is a proposed sale or lease of land to a member of the Trust board, or to a person or company closely connected with a member, this will require authorisation from the DfE before it is granted, even if the disposal is at full market value.

The payment of reasonable expenses to a member of the Trust board will not be a benefit and therefore will not create a conflict of interest or require authorisation.

Declaring interests

Wherever possible, the Co-Headteacher and Chair of Trustees will make arrangements to avoid a conflict of interest arising.

The stipulations below will apply to all members of the Trust board, the Co-Headteacher and any others in attendance at meetings, including the SLT.

The Trust board will be provided with a standard agenda item at the beginning of each meeting, to declare any actual or potential conflicts of interest. Declarations will be made in writing, unless they are made at a meeting where official minutes are being taken.

All members of the Trust board will be required to declare any interest that has been outlined as an item to be discussed, at the earliest possible opportunity and before any discussion of the item itself.

If a member is unsure whether they are conflicted, they will declare the issue and discuss it with the rest of the Trust board.

If a member is aware of an undeclared conflict of interest affecting another member, they will be required to notify the rest of the Trust board for appropriate action.

If the person making the declaration is only one of a number participating in the Trust board's discussion and decision-making process, the declaration will be made to the other participants. If the person making the declaration is the only person making a decision on behalf of the Trust board, the declaration will be made to the Co-Headteacher. If the person making the declaration is the Co-Headteacher, the declaration will be made to the Chair of Trustees.

Staff will declare conflicts of interest to the Co-Headteacher and ensure that this information is up-to-date.

If new conflicts of interest arise for trustees or staff, they will inform the Chair of Trustees or the Co-Headteacher and the registers will be updated.

Removing conflicts of interest

The Trust board will consider any conflict of interest declared, ensuring that any potential effect on decision-making is eliminated.

If an individual has declared an interest, they will be required to leave the room when the matter is being discussed.

Where there is a conflict of loyalty and the affected member does not stand to gain any benefit, they will be required to declare the interest.

The rest of the Trust board will decide on what level of participation in decision-making, if any, is acceptable on the part of the conflicted member.

- The Trust board will decide whether the affected member:
- Can participate in the decision, after having registered and fully declared their interest.
- Can stay in the meetings where the decision is discussed and made, but not participate.
- Must be withdrawn from the decision-making process.

When deciding which course of action to take, the Trust board will:

- Always make their decisions in the best interests of the centre and its pupils.
- Always protect the centre's reputation and be aware of the impression that their actions and decisions may have on others.
- Always be able to demonstrate that they have made decisions in the best interests of the centre and its pupils, and independently of any competing interest.
- Require the withdrawal of the affected member from any decisions where their other interest is relevant to a high-risk or controversial decision, or could significantly affect the member's decision-making.
- Allow a member to participate where the existence of their other interest poses a low risk to decision-making in the centre's interest, or is likely to have only an insignificant bearing on their approach to an issue.
- Be aware that the presence of a conflicted member can affect trust between other members of the Trust board, could inhibit free discussion, and might influence decision-making in some way.

If the Trust board is discussing the appointment of a post, or making decisions that may lead to a staff vacancy, regarding a role for which a trustee could apply, the member in question will be required to leave the discussion, as this is classed a conflict of interest.

Members of the Trust board who have declared an interest will not be able to vote or make decisions regarding that topic, including any financial activity connected to the matter, and will not be present when the vote is taken.

The governance professional will record an entry in the minutes when an individual withdraws from a meeting.

Declarations will be clearly recorded so that there can be no potential for misunderstandings.

In circumstances where participation is unavoidable, the Chair of Trustees will consider the risks associated with the situation and advice will be sought from the centre's HR team. An entry of the situation, including the outcome, will be recorded in the minutes.

The Trust board will follow any legal or Trust document requirements on how a conflict of interest must be handled, but may, in serious cases, decide that removing a conflict of interest itself is the most effective way of preventing it from affecting their decision-making.

Serious conflicts of interest will include, but will not be limited to, those which:

- Are so acute and extensive that the member is unable to make their decision in the best interests of the centre and its pupils.
- Are present in significant high-risk decisions of the trustees.
- Mean that effective decision-making is regularly undermined or cannot be managed in accordance with the required or best practice approach.
- Are associated with an inappropriate Trust board benefit.

To remove a conflict of interest, the Trust board will undertake appropriate action, including:

- Not pursuing the course of action.
- Proceeding with the issue in a different way so that a conflict of interest does not arise.
- Securing the resignation of the member affected by a conflict of interest.
- Not making member appointments that would knowingly introduce a conflict of interest.

Records of proceedings

Each time a declaration has been made during a meeting or an individual has withdrawn from a discussion, a record will be kept in the meeting minutes.

At a minimum, the following information will be recorded:

- The nature of the conflict
- Which members were affected
- Whether the conflicts of interest were declared in advance
- Whether anyone withdrew from the discussion
- How the trustees reached the decision made
- A description of what was disclosed and in what circumstances

- A cross-reference to an entry in the Declared Conflicts of Interest Register
- The Chair of Trustees or Co-Headteacher will sign and date the recording

Non-compliance

Any member of the Trust board who fails to reveal information to enable the Trust board to fulfil its responsibilities might be in breach of the Trust Board Code of Conduct -- as such, these incidents will be dealt with on a case-by-case basis accordingly.

The Trust board will consider suspending a trustee if they fail to declare information that brings the Trust board's reputation into question.

Where necessary, any member of staff found to be withholding information about a conflict of interest will be subject to disciplinary action in line with the Disciplinary Policy and Procedure.

Any staff member or member of the Trust board who fails to declare an interest and is found to be in conflict with their decision-making will be required to explain the reasons for their omission to the rest of the Trust board.

Related party transactions

The trust will be even-handed in its relationship with related parties by ensuring:

- Trustees' compliance with their statutory duties to avoid conflicts of interest, not accept benefits from third parties, and declare interest in proposed transactions or arrangements.
- A register of interest has been completed by the governance professional.
- No member of the trust uses their connections to the trust for personal gain.
- All payments are permitted by the articles of association or by authority from the Charity Commission.
- The Charity Commission approves payments to a trustee where there is a significant advantage to the trust.
- Any payment provided to a person satisfies the 'at cost' requirement.

All related party transactions will be reported to the ESFA in advance of transactions taking place, using the ESFA's online form (<https://www.gov.uk/government/publications/related-party-transactions-information-for-academy-trusts>). This will be applied to all contracts and agreements made on or after 1 September 2023.

The ESFA's prior approval will be obtained, using the online form, for contracts for the supply of goods or services to the trust by a related party where any of the following limits apply:

- A contract exceeding £40,000

- A contract or other agreement of any value that would mean the cumulative value of contracts and other agreements with related party exceeds, or continues to exceed, £40,000 in the same financial year ending 31 August

Prior ESFA approval will not be required where contracts and other agreements for the supply of goods or services are with:

- Colleges, universities and schools which are sponsors of the trust.
- State funded schools and colleges, including academies.

For the purposes of reporting to the ESFA, transactions with related parties will not include salaries and other payments made by the trust to a person under a contract of employment through the trust's payroll.

When completing the ESFA's online form, all the information required to complete the form will be collected -- it is not possible to partially complete a form and then return to it.

The following information will be required to create a record for the supplier:

- The name of the supplier
- The supplier's address
- The supplier's company number which can be found using the Companies House website (<https://beta.companieshouse.gov.uk/>) (for limited companies)
- The statement which best describes the relationship between the supplier and the trust
- Confirmation that the supplier is listed on the trust's register of interests
- Confirmation that the trust has a statement of assurance from the supplier
- Confirmation that the trust has an open-book agreement with the supplier

The following information about the related party transaction will be required:

- A short description of the goods or services
- Details of the proposed cost
- The start and end date of any contract or agreement

When seeking approval for a related party transaction, evidence including the following will be required:

- How the trust agreed to the related party transaction
- That the trust followed its Tendering and Procurement Policy
- That the trust tested the market before making a decision
- How the trust managed any conflicts of interest
- A copy of the agreement and proposed contract

The board of trustees and accounting officer will manage personal relationships with related parties to avoid both real and perceived conflicts of interest, promoting integrity and openness in accordance with the seven principles of public life.

The chair of the board of trustees and the accounting officer will ensure their capacity to control and influence does not conflict with requirements.

The trust will recognise that some relationships with related parties may attract greater public scrutiny, such as:

- Transactions with individuals in a position of control and influence, including the chair of the board and the accounting officer.
- Payments to organisations with a profit motive, as opposed to those in the public or voluntary sectors.
- Relationships with external auditors beyond their duty to deliver a statutory audit.

The trust will keep up-to-date records and make sufficient disclosures in their annual accounts to show accordance with the high standards of accountability and transparency required within the public sector.

The trust's register of interests will include business and pecuniary interests, including:

- Directorships, partnerships and employments with businesses.
- Trusteeships and governorships at other educational institutions and charities.
- For each interest: the name of the business; the nature of the business; the nature of the interest; and the date the interest began.
- Any other interests deemed relevant by the board of trustees.

The register of interests will identify any relevant material interests from close family relationships between the trust's members and trustees. It will also identify relevant materials arising from close family relationships between those individuals and employees.

Relevant business and pecuniary interests of members, trustees and the accounting officer will be published on the trust's website.

The governance professional will maintain a Related Party Transactions (RTP) Register, which will be stored in accordance with the Data Protection Policy.

Monitoring and review

This policy will be reviewed on an **annual** basis, or when new legislation or guidance regarding the subject is published and requires the approval of the full Trust board as it cannot be delegated to a committee.

The next scheduled review date will be **September 2027**.

The Trust board will carry out continuous monitoring of its and members' activities to ensure that any conflicts of interest are identified and mitigated as soon as possible.

The Trust board will review the Declared Conflicts of Interest Register on an **annual** basis, or when circumstances have changed.

The Declared Conflicts of Interest Register will be available to be viewed and amended at every meeting of the full Trust board.

Appendix: Declaration of Conflicts of Interest Form

Declaration

I hereby certify I understand that it is my responsibility to declare the nature of all business or personal interests, whether direct or indirect, of myself, my partner and/or members of my immediate family, that could unfairly benefit from my relationship and connection with the centre.

I also understand that it is a criminal offence to:

- Withhold information relating to conflicts of interest.
- Provide falsified information.
- Fail to notify the Trust board of any changes which might invalidate this declaration.

I agree to inform the Trust board of any changes to aforementioned interests, or new conflicts of interest, at the earliest possible opportunity.

I confirm I do not have any actual or potential conflicts of interest to declare:

I wish to declare an actual or potential conflict of interest and have included further details below:

Name	
Role	
Signature	
Date	

Details of the declared conflict of interest	Nature of business or organisation	Brief description of the conflict of interest declared	Is the declared conflict of interest an actual conflict or a potential conflict of interest?	Date of appointment or acquisition	Date of cessation of interest
Director at John Smith Stationers	Stationery retailer	Managing Director with responsibility for tendering for centre stationery contracts	Actual	01/09/20XX	N/A
Councillor at Sleaford	Political body	Chair of the planning committee	Actual	10/05/20XX	10/05/20XX

Town Council					