

## **Conflict of Interest – Additional Guidance**

### **Appendix 2**

#### Exemptions

There may be instances where a conflict has been declared and an exception is given for the individual to work on a project.

The following action should be taken:

1. Assess the need. The individual and line manager should discuss whether it is necessary for the individual to be involved in such work. Consideration should be given to the following:
  - Where the organisation does not have an equally skilled or qualified person to undertake the role to achieve the organisations objectives.
  - The area of conflict is a subset of a wider project being undertaken by a team and the conflict could be effectively managed.
  - Short term illness of others on the project, and the work cannot be delayed.
  - Oversight of a larger team.
2. When considering Exceptions, the following should be considered:
  - Level of Risk: What is the risk to the outcome of the project and the reputation of the organisation.
  - Where the risk is perceived to be low, and the conflict insignificant a formal exemption should be sought from a member of ExCo. The Governance Team should be involved in the decision making so that they can offer any assistance drawn from their experience. In such circumstances the individual could be allowed to participate.
  - Where the risk is higher agreement should be sought as set out above, but the individual might only be allowed to participate with restrictions, additional oversight or a review of their work in relation to a project. Such a restriction should be agreed by the General Counsel.
  - The individual may be allowed to undertake some work in a restricted role as above but would be precluded from the final decision making.
  - Where the risk is considered significant the work should be reassigned to others.
3. Any decisions to give an exemption to the policy should be disclosed with full reasons set out on the file and the details of the approval from the Executive Director and if appropriate General Counsel.
4. The Executive Committee should be updated at their next meeting of any exceptions agreed. Should they disagree with the approach the exception should be removed. This should again be disclosed by recording on XCD.
5. The Governance Team should report quarterly to the Executive Committee on the number of exemptions given, with a brief outline of reasons. A final year figure or rolling total should also be kept.
6. The Executive Committee should consider the number of exemptions and if necessary, re-allocate resources in order to minimise the number of exemptions to the policy