

Adverse Effects Policy

SMART AWARDS
BEECHWOOD HOUSE, TANNERS LANE, BERKSWELL, COVENTRY CV7 7DA

Adverse Effects Policy



Doc ref QUA 067-5.0
Date of issue 01/03/2016
Review date 01/12/2021
Classification Public

1. Scope

This policy covers potential incidences relating to Smart Awards qualifications, third parties and centres engaged in the development, delivery of qualifications, and assessment that could have an adverse effect on learners.

2. Responsibilities

Everyone involved in the delivery of Smart Awards qualifications have the responsibility to take all reasonable steps to ensure they are aware of the contents of this policy and that centre staff are aware they have the responsibility to report any situations which could have an adverse effect on learners.

When an adverse effect is raised Smart Awards staff and centres are required to:

- Notify Smart Awards immediately of any adverse event
- Promote a culture where it is acceptable for staff to report all adverse events
- Investigate all adverse events
- Action is taken and all reasonable steps put in place to prevent reoccurrence of any adverse event
- Lessons are learned and communicated following an adverse event

3. Adverse Effect

An 'Adverse Effect' is defined as: An act, omission, event, incident or circumstance has an 'adverse effect' if it gives rise to prejudice to learners or potential learners, or adversely effects the development, delivery or award of qualifications which relate to:

- The standards of qualifications or proposes
- Public confidence in qualifications
- The delivery of an assessment which threatens Assessors' ability to differentiate accurately and consistently between the levels of attainment demonstrated by learners
- Being able to meet a published date for the issue of results or the award of a qualification
- Issuing incorrect results or certificates
- An incident of malpractice or maladministration, which could either invalidate the award of a qualification which it makes available or could affect Smart Awards
- Increase in costs that result in stopping a learner completing and obtaining certification
- A criminal or civil proceedings or is subjected to a regulatory investigation or sanction by any regulatory or government body
- A person is a party to criminal proceedings (other than minor driving offences), is subject to any action for disqualification as a company director, or is subject to disciplinary proceedings by any professional, regulatory or government body.
- Misleading learners through statements, advertisements or promotions resulting in learners being disadvantaged and not achieving a recognised qualification
- Learners made redundant before assessment complete
- Approved centre ceases trading
- Confidentiality of assessments

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4. Reporting an Adverse Effect

Persons must inform Smart Awards of any adverse effects at the earliest opportunity and include information relating to:

- The nature and cause of the incident
- The number of learners affected
- The possible or actual impact on learners
- How the incident came to light
- Whether other centres/learners/stakeholders are aware of the incident
- Action plan detailing causes and effects, and to mitigate adverse impact

Where an adverse effect is reported, Smart Awards will:

- Add to Smart Awards risk register
- Acknowledge receipt of the notification
- Confirm the timelines to any investigation
- Obtain evidence
- Confirm the facts, establish additional factors, circumstances and scale
- Consider whether sufficient information and assurance that all necessary mitigating actions to protect the interests of learners have been taken
- Identify whether the incident is an isolated occurrence or has wider implications for other learners, qualifications, centres and awarding bodies
- Identify any patterns or trends
- Identify any changes to policy or procedure that need to be made
- Ensure confidentiality
- Report to the regulators where appropriate
- Retention and storage of evidence and records
- Communicate lessons learned

5. Reporting to the Regulator

If appropriate, an adverse effect will be reported to the regulators at the earliest opportunity, using the 'notification to regulator' form as shown below.

Title of notification:			
Raised by:		Date Raised:	
Details of notification or adverse effect:			
<input type="checkbox"/>	Name of accountable/responsible officer		
<input type="checkbox"/>	Change of accountable/responsible officer		
<input type="checkbox"/>	Name of senior officers		
<input type="checkbox"/>	Change of senior officers		

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Title of notification:		
<input type="checkbox"/>	Change in governance structure	
<input type="checkbox"/>	Notification of an adverse effect	
<input type="checkbox"/>	Other	
Summary of change or adverse effect:		
Impact Analysis:		
Implications and relationships		
Details of consultation internal and external stakeholders		
<i>(Enter details of the consultation that has taken place to ensure that all parties have been consulted have been consulted)</i>		
Internal approval and level of priority:		
<input type="checkbox"/>	Priority 1 = Mission critical problem resolution, immediate response required 1-2 weeks	
<input type="checkbox"/>	Priority 2 = High importance, no workaround -1 month	
<input type="checkbox"/>	Priority 3 = Important, workaround is available – 1-3 months	
<input type="checkbox"/>	Priority 4 = Low importance – 3 -6 months' plus	
Authorised Signature:		Business Deadline:
		Date: