Institute of Sales Professionals

Adverse Effect Policy

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Institute of Sales Professionals

1. Introduction

This policy describes the steps ISP takes around the identification, prevention, mitigation and reporting of Adverse Effects.

2. Identification and management of risk

2.1. Identifying risk

- Identifying potential risk that could have an Adverse Effect
- Preventing incidents from occurring, or mitigate the Adverse Effect as far as possible
- Establishing and maintaining a contingency plan

2.2. Quality assurance Provider risk register

All Approved Training Providers are risk rated and risk ratings are recorded in their EQA Visit Report and on a central register. Approved Training Provider's risk ratings are updated as new information is received by the quality assurance team. The EQAs undertake a minimum of two risk-based external quality assurance monitoring visits to Approved Training Provider in each academic year. The EQA completes a report for each visit and the reports are collated by the quality assurance team and attached to Approved Training Providers record. Each report includes a risk summary, and the Approved Training Provider will be rated overall to be the highest risk revealed during the visit and recorded as low, medium or high risk. ISP apply appropriate sanctions against medium and high-risk Approved Training Providers.

2.3. Targeting strategy – Unannounced spot checks

Unannounced spot checks are managed on a risk-based approach by ISP's Quality Manager. Visit plans are agreed and implemented when the Approved Training Provider risk register reports increased risk highlighted by intelligence received. Any increased risk raises concern that the validity, reliability and integrity in the delivery and or assessment of qualifications taken by registered ISP learners may be compromised and could lead to an Adverse Effect.

2.4. Confirmation

ISP will review evidence to determine whether or not an incident could have or lead to an Adverse Effect.

3. Prevent and mitigate

ISP's Responsible Officer (RO) will meet with an appropriate group of ISP personnel, to determine whether or not an incident is reportable as an Adverse Effect. The group is likely to include senior representation from the Assessment and Qualification teams as well as Quality Assurance and will aim to establish the impact on Approved Training Provider and learners and agree any steps that ISP has taken, or intends to take, to prevent the event having an Adverse Effect, or to correct or mitigate that Adverse Effect if it occurs.

Each example of an incident that could lead to an Adverse Effect will be managed and reported on a case by case basis taking account of any trends established.

ISP's RO will make the final decision regarding any notification requirement.

In line with the requirement to notify other AO's who may potentially be affected by an Adverse Effect ISP will notify other Awarding Organisations as required by Condition A8.7b.

4. Management of incidents

Where an incident occurs which could have an Adverse Effect, ISP will promptly take all reasonable steps to prevent the Adverse Effect and, where any Adverse Effect occurs, mitigate it as far as possible and correct it.

Condition A7.1 (a); and give priority to the provision of assessments which accurately differentiate between Learners on the basis of the level of attainment they have demonstrated and to the accurate and timely award of qualifications. Condition A7.1 (b).

The Adverse Effect Policy is applied when incidents that may have an Adverse Effect occur and are reported. The Adverse Effect Policy applies to internal and external incidents caused as a result of ISP, or Approved Training Provider, failing to manage and apply related processes and practice intended to prevent or reduce the likelihood of an Adverse Effect.

Incidents can be due to ISP staff, process or system error and or failure of Approved Training Provider inadvertently (Maladministration) or deliberately (Malpractice) failing to apply ISP policy.

5. Reporting Adverse Effects

Quality assurance has overall responsibility for reporting non-compliances that have had or are likely to have an Adverse Effect.

The team may also report any potential non-compliance that may result in an Adverse Effect, although in examples of this type the Compliance team will undertake further inquiries to gather conclusive evidence that an Adverse Effect has occurred and the findings will support whether the incident is reportable as an Adverse Effect or whether it falls into another category. In examples where the Compliance team do not consider that the incident had resulted in an Adverse Effect but that improvement is required to strengthen a process or practice ISP's Quality Manager will set an Action/Improvement plan that must be agreed by the Approved Training Provider and completed within specified times set within the plan. ISP will support Approved Training Provider improvement plans when possible. Quality assurance logs all cases and report trends and increased level of risk.

6. Notifiable events

ISP apply the requirements by the Regulators. Key reference points include Condition B3 Notification to the Regulators of certain events - notification where an event could have an Adverse Effect. B3.1 An awarding organisation must promptly notify the Regulator when it has cause to believe that any event has occurred or is likely to occur which could have an Adverse Effect.

Condition B3.2 provides specific examples of events which could have an Adverse Effect. The decision-making process can often be complex and challenging. Therefore an informed decision will be supported by evidence and professional judgement as a result of discussions with key personnel. In any case, where new evidence becomes available to ISP that identifies the increased likelihood that an incident will have, or has resulted in an Adverse Effect, ISP will provide a rationale explaining why ISP did not consider that an Adverse Effect had occurred at the time of the investigation.

7. Notification to the regulators

ISP will notify the regulator(s) (Ofqual) who regulate their qualifications relating to the incident that has occurred or is likely to occur which could have an Adverse Effect.

Condition B3 provides specific examples of events which could have or lead to an Adverse Effect. These examples are not exhaustive and ISP will also report any other incident that could have an Adverse Effect.

The initial notification report will follow a set format reporting:

- Who reported the incident and when (e.g. Name/Time-ISP- 01/08/2016)
- What is the event notification (e.g. Condition B3.2(f))
- Where did the incident occur
- What was the Adverse Effect
- Any action ISP has taken to mitigate

A final report will be provided when the investigation is complete.

All communication to the regulators must come from ISP's Responsible Officer or Quality Manager who maintain a record of all communication in the case file.