



Incident and Risk Management Policy



Revisions and Amendment Register

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1. Purpose

This policy sets out the risk management process used by SFJ Awards, together with SFJ Awards' intentions and approach to preventing and managing incidents. The policy also set out the steps that SFJ Awards will take if an incident has occurred, or is likely to occur, which could result in an Adverse Effect.

NB This is an internal policy and should be made available to all members of staff at SFJ Awards.

2. Definition

An Adverse Effect is described as:

“An act, omission, event, incident or circumstance if it –

- a) gives rise to prejudice to Learners or potential Learners, or*
- b) adversely affects –*
 - i. the ability of the awarding organisation to undertake the development, delivery or award of qualifications in accordance with its Conditions of Recognition,*
 - ii. the standards of qualifications which the awarding organisation makes available or proposes to make available, or*
 - iii. public confidence in qualifications.”¹*

3. Roles and Responsibilities

SFJ Awards' Staff and Associates:

Notify the SFJ Awards Responsible Officer promptly of any potential risks or incidents that could lead to an Adverse Effect.

SFJ Awards' Senior Management Team:

- Appropriately investigate and monitor incidents.
- Manage the risk management registers for the AO and EPAO, mitigating risks and incidents as far as possible.

SFJ Awards' Responsible Officer:

- Take timely, informed decisions and exercise professional judgement to manage any incident and prevent any Adverse Effect that the incident could have were it to occur or, where it cannot be prevented, mitigate that Adverse Effect as far as possible.
- Identify and notify the Qualifications Regulators promptly of an event that has occurred or is likely to occur that could have an Adverse Effect.
- Manage the event notification process, while identifying the cause of any actual or potential Adverse Effect and making changes to prevent the event from reoccurring.

4. Identifying Risks and Incidents

SFJ Awards takes all reasonable steps to identify the risk of the occurrence of any incident which could have an Adverse Effect and takes all reasonable steps to prevent any instance giving rise to an Adverse Effect.

Some examples of incidents that could result in an Adverse Effect are below (*this list is not exhaustive and is intended for guidance only*):

¹ Ofqual General Conditions of Recognition, October 2017

- Change of control.
- Conflict of interest.
- Cheating/Malpractice/maladministration that could either invalidate the award of a qualification and/or could affect another awarding organisation.
- Errors in assessment materials.
- Loss, theft or breach of confidentiality in assessment materials.
- Cannot supply assessment materials as needed.
- There has been a failure in the delivery of an assessment which threatens the Assessors' ability to differentiate accurately and consistently between levels of attainment demonstrated by learners.
- Unable to meet a published date for the issues or results or the award of a qualification.
- Has issued incorrect results or certificates.
- Anticipates an increase in fees which is significantly more than the rate of inflation.
- Named as a party in any criminal or civil proceedings or is subjected to a regulatory investigation or sanction by any professional, regulatory, or government body.
- A Senior Officer of SFJ Awards is a party to criminal proceedings.

5. Preventing Incidents and managing risk

Any member of staff who becomes aware of a potential incident must report the matter immediately to a member of the Senior Management Team.

The Awards Management Team takes a proactive risk-based approach to managing, foreseeing and preventing incidents.

The Risk Register is used to record anticipated incidents, contingency plans and controls to prevent those incidents occurring as far as possible. The Risk Register is reviewed and monitored on a regular basis by the Senior Management Team at the monthly Quality Forum and reported to the Quality & Standards Committee their quarterly meetings.

6. Managing and Mitigating Incidents

Any member of staff who becomes aware of an actual incident must report the matter immediately to the Quality Assurance and Compliance Manager and a member of the Senior Management Team. Incidents will be given priority and dealt with quickly.

The incident will be logged on the Incident Log by the Quality Assurance and Compliance Manager and relevant evidence will be brought together in a case file. The matter will be promptly investigated by a member of the Senior Management Team. If an unforeseen incident that could have an adverse effect were to occur, the SFJ Awards Responsible Officer will take all reasonable steps to promptly manage the incident, mitigate it as far as possible and correct it.

The Senior Management Team will consider the evidence to confirm whether or not the incident could result in an Adverse Effect. The Quality Assurance and Compliance Manager will take responsibility to contain the incident and appropriately correct it.

7. Event notification process

The SFJ Awards Responsible Officer will notify the Qualifications Regulators promptly of any incident that has occurred (or is likely to occur) which could have an adverse effect, following the event notification process via the Portal. The Responsible Officer will provide regular

update and relevant information as agreed with the Regulators, throughout the management of the event.

The SFJ Awards Responsible Officer will report any Adverse Effects to the Quality & Standards Committee and the Board.

8. Regulatory criteria and conditions

Regulatory Body	Regulatory guidance document	Regulatory Condition or Criterion
Ofqual	General Conditions of Recognition	A6, A7, B3
CCEA Regulation	General Conditions of Recognition	A6, A7, B3
Qualifications Wales	Qualification Wales Standard Conditions of recognition	A6, A7, B3
Department for Education	APAR Conditions of Acceptance	Condition xx

9. Review of the Policy

This is an SFJ Awards internal policy. It will be reviewed by SFJ Awards on a regular basis as part of SFJ Awards' self-evaluation arrangements and revised as necessary in response to lessons learnt, customer feedback, changes in legislation and guidance from the Qualifications Regulators.

The *SFJ Awards Event Notification Process* provides details on the implementation of this policy.

10. Location of the Policy

A copy of this policy can be downloaded from Odyssey, ACE360 or from the SFJ Awards website: www.sfjawards.com/policies.

11. Copyright

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