



IIMTS
Awarding Body

IIMT STUDIES LTD **CENTRE POLICY**

IIMT Studies Centre Policy | Copyright- IIMT Studies Ltd. (IIMTS AB)

Notification of Adverse Events Policy

Policy Compliance:

This policy complies with
Ofqual, Handbook- General Conditions of Recognition

B1 Role of Responsible Officer
B3 Notification to Ofqual of Certain Events
D7 Management of withdrawal of qualifications



Awarding Quality Qualifications through Global Recognition

Document Code No. IIMTS_AO_OGCR_NAE_01_2020

Title of the Policy: Notification of Adverse Events Policy	Authorised by Responsible Officer	Created: Version 1 1 November 2023
Conditions of Recognition: General Conditions of Recognition		Current version: 3 Next Review Date: 1 April 2026

Important contact-

Any query or concern related to this policy may be directly addressed to the Responsible Officer-

[IIMT Studies Ltd]
Company number 11649333

Registered office address
[Havelock Hub
14 Havelock Place
Harrow
London
HA1 1LJ
Ph- +44-7466650066
Email- info@iimtsab.co.uk
Website- www.iimtsab.co.uk

Awarding Body:

IIMT Studies Ltd- www.iimtsab.co.uk

Acronym used to represent IIMT Studies Ltd:

(IIMTS AB)

Regulating Body

OFQUAL

Ofqual.gov.uk

Index

Sr No.	Titles
1	Policy Code
2	Policy Statement
3	Objectives of Policy
4	Definitions
5	Examples of Adverse Events
6	How can an adverse event be notified
7	The standard process to follow
8	Notification to Ofqual

(A) Policy Code: [IIMTS_AO_OGCR_NAE_01_2020](#)

(B) Policy Statement :

IIMT Studies has its own code of conduct and core values. The code of conduct and core values form an integral part of integrity and ethical business operations. While IIMT Studies and its recognised centres ensure strong processes and policies to ensure compliance with conditions of recognition, there may be instances where we find certain adverse events which we ensure to record at the risk register and notify Ofqual as a part of compliance.

This policy complies with Ofqual conditions of recognition, where Ofqual directs AO to notify Ofqual of adverse events associated with the business operations and compliance.

(C) Objectives of Policy:

1. To ensure the identification of possible adverse events
2. To ensure to have smooth business operations
3. To have the procedures listed to notify of the adverse events
4. To create a transparent and accountable work environment
5. To maintain a risk register

(D) Definitions :

Adverse events:

Reference-1

An act, omission, event, incident, or circumstance has an Adverse Effect if it –

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

(Condition J1.8- Ofqual General Conditions of Recognition)

(E) Examples of adverse events:

Assessment-related instances:

- **Substantial Validation Errors:** In cases where an annual review, quality checks or stakeholder feedback reveal significant errors in assessment materials.
- **Loss, Theft, or Confidentiality Breach:** In incidents of loss, theft, or breaches of confidentiality concerning approved assessment materials.
- **Unavailability of Assessment Materials:** If IIMT Studies is unable to provide assessment materials for a scheduled assessment date.
- **Assessment Delivery Failure:** Instances where a failure in assessment delivery poses a threat to assessors' ability to accurately differentiate between learner attainment levels.
- **Missed Publication Dates:** When IIMT Studies cannot adhere to published dates for result issuance or qualification awards.
- **Incorrect Results or Certificates:** Issuance of incorrect results or certificates by IIMT Studies.

Governance-related instances:

- **Senior Officer's Legal Issues:** Instances where a Senior Officer of IIMT Studies is involved in criminal proceedings (excluding minor driving offences), faces action for disqualification as a company director, or is under disciplinary proceedings by any professional, regulatory, or government body.
- **Adverse Effects due to Accident:** Any accidents within or outside IIMT Studies that trigger circumstances leading to an adverse effect on operations.

General instances:

- **Malpractice or Maladministration Incidents:** If there is a belief that an incident of malpractice or maladministration could either invalidate the award of an IIMT Studies qualification or potentially impact another awarding organisation.
- **Cost Increase and Fee Adjustment:** If, for any reason, IIMT Studies incurs increased costs, anticipate a fee increase significantly exceeding the inflation rate.
- **Legal or Regulatory Actions:** If IIMT Studies is named in criminal or civil proceedings or subjected to regulatory investigation or sanction by any professional, regulatory, or government body.

(F) How can an adverse event be notified:

The process below must be followed to notify of the adverse events.

The Responsible Officer, along with the Chief Executive Officer or Head of Compliance, can be approached as soon as the adverse event has been noticed. It can be notified with specific information about the event.

Notification can be sent to report.an.issue@iimtstudies.co.in. Alternatively, you may write to us at:

IIMT Studies Ltd.
Havelock Hub
14 Havelock Place
Harrow
HA1 1LJ

Upon receipt of the event, the responsible officer will immediately notify the CEO and the Head of Compliance following the investigation process.

(G) The standard process to follow in case of adverse events identified:

- The Responsible Officer will be involved in investigating the alleged event to determine its validity. Detailed documentation of the investigation is mandatory and will be archived as a "risk" on the Risk Register.
- The Responsible Officer is responsible for communicating the investigation findings to the CEO, Head of Compliance and Board of Governors. This report must include an attached copy of the investigation findings along with a proposed action plan to mitigate the impact of the event within a 24-hour timeframe.
- The Board of Governors may opt to contribute or comment on the proposed action plan before its execution, contingent on the severity of the event.

(H) Notification to Ofqual:

- The Responsible Officer is required to inform Ofqual using the recommended contact method and point of contact. The initial contact with Ofqual serves to alert them regarding the event. This alert must be followed by the submission of an approved action plan to manage and mitigate the impact of the event within 72 hours.



IIMTS
Awarding Body

Address __

IIMT Studies LTD
Havelock Hub
14 Havelock Place
Harrow
HA1 1LJ
United Kingdom

Call us on __

+44 7466650066

Email us on __

info@iimtsab.co.uk

www.iimtsab.co.uk