

COMPLIANCE POLICY

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| Policy Owner | Quality Assurance and Compliance Department |
| Approved By | Governing Body |
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| Version Number | 04 |

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1. Introduction

B-TIC is highly responsible to maintain and improve the quality of all the Qualifications that we Design, Deliver, Assess, Quality Assure and Award as per the standard and recommend of the Regulators.

We are fully committed to every compliance of all the agencies who regulate us thus we are highly dedicated in setting Policies with timely revisions to meet the regulatory requirements, assure the standards, guide and support Recognised Centres and the Learners to achieve a world class learning experience.

2. Scope

This document is applicable for the following B-TIC products:

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|--|-------------------------------------|
| Ofqual Regulated Qualifications and Units | <input checked="" type="checkbox"/> |
| Quality Assurance Agency Regulated | <input type="checkbox"/> |
| B-TIC Quality Assured and Endorsed Courses | <input checked="" type="checkbox"/> |

3. Audience

This document is for use by the following:

- a. Recognised Centre Staff
- b. Assessors and Quality Assurers

B-TIC

- a. Staff
- b. Registrar
- c. Quality Assurers

4. Regulations and Compliance

As set out in “Ofqual General Conditions of Recognition” requires Awarding Organizations to establish and maintain evidence of their compliance as Conditions for Recognition.

B-TIC builds and improve the Policy consistently to comply with and maintain evidences in cross reference to Regulations.

Policy cross reference to “Ofqual General Conditions of Recognition (OGCR). "Ofqual General Conditions of Recognition” shall fill the gaps in this Policy.

| OGCR Reference | Page | Title of the Section |
|-----------------------|-------------|--|
| Condition - B1 | 23 | The Role of the Responsible Officer |
| Condition - B2 | 24 | The Annual Statement of Compliance to Ofqual |
| Condition - B3 | 25 | Notification to Ofqual of Certain Events |
| Condition - B4 | 29 | Notice to Provide Information to Ofqual |
| Condition - B6 | 31 | Cooperation with Ofqual |
| Condition - B7 | 31 | Compliance with Regulatory Documents |
| Condition - B8 | 31 | Compliance with Undertakings Given to Ofqual |

| OGCR Reference | Page | Title of the Section |
|-----------------------|-------------|---|
| Condition - A1 | 6 | Suitability for Continuing Recognition |
| Condition - I1 | 134 | Appeals process |
| Condition - I2 | 135 | Compliance with Ofqual's Appeals and Complaints Process |

Relevant Policies to be used in conjunction with,

1. B-TIC Assessment Policy
2. B-TIC Appeal and Complaints Policy
3. B-TIC Glossary of Terms
4. B-TIC Logo Policy
5. B-TIC Notification of Withdrawal of Qualifications to Regulators Policy
6. B-TIC Reasonable Adjustment and Special Consideration Policy
7. B-TIC Responsible Office Policy

5. Definitions

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|-----------------------|---|
| Governing Body | The board of directors of the Awarding Organisation (Ofqual, 2020). |
| Senior Officer | A director or senior executive officer of the Awarding Organisation (Ofqual, 2020). |

6. Policy Statement

6.1 Suitability of Senior Officer

B-TIC must ensure that each of its Senior Officers are at all times a person suitable to be engaged in that role in B-TIC that is recognised for the award of the relevant Qualifications (A1.4).

The Statement of Compliance shall also specify either,

- a. That B-TIC has no cause to believe that it will be likely to fail to comply with any of its Conditions of Recognition during the period of twelve months immediately following the date of the statement or
- b. That B-TIC does have such a cause for belief, in which case the Statement must describe each instance of potential non-compliance, the grounds for believing it to be likely to occur and the steps being taken B-TIC in relation to it (B2.4).

6.2 Appointing a Responsible Officer

The Responsible Officer shall be the authoritative point of contact with Ofqual, drawing on the expertise and information held by others within the organisation.

B-TIC shall have identified its Responsible Officer clearly.

B-TIC shall define and record the role and responsibilities of its Responsible Officer within a job description, job specification or other appropriate record.

B-TIC shall enable its Responsible Officer to fulfil the role independently without any interferences.

B-TIC shall provide the Responsible Officer with the support and access to information and other resources necessary for the role.

B-TIC shall respond quickly to any issues arising with the role in terms of changing the definition of the role, providing extra support and/or changing the role holder.

B-TIC shall make relevant Staff aware of the role of the Responsible Officer.

BTIC shall ensure the role of the Responsible Officer is covered when the Responsible Officer is away from the business for a given period of time due to illness, holiday or other appropriate considerations.

B-TIC shall appoint an officer to be active all the time to act as its Responsible Officer (B1.1).

B-TIC shall inform Regulators (Ofqual) in writing of the name and details of responsible officer from time to time appointments (B1.2).

6.3 The Role of the Responsible Officer

B-TIC Responsible Officer shall serve as the authoritative point of contact for Ofqual in relation to all activities undertaken by B-TIC which are of interest to Ofqual in accordance with the Act including in particular,

- a. Any matters relating to its compliance with its Conditions of Recognition.
- b. Its ability to undertake the efficient development, delivery, Assessment, Quality Assurance and Award of Qualifications.
- c. The standards of Qualifications that it makes available or proposes to make available.
- d. Any matters which may affect public confidence in Qualifications and
- e. The accessibility of Qualifications it makes available including its Compliance with Equalities Law (B1.3).

The Responsible Officer shall be able to explain the responsibilities and how to undertakes the role of the position.

B-TIC shall give authority to Responsible Officer to speak to Ofqual on behalf of B-TIC.

B-TIC shall ensure that where,

- a. Its Responsible Officer makes a statement to Ofqual (other than one which is required to be made by the Governing Body), Ofqual will be entitled to rely on that statement as being accurate and made on behalf of B-TIC.
- b. Ofqual gives to B-TIC Responsible Officer a statement, request or notice addressed to the Awarding Organisation, Ofqual will be entitled to treat that statement, request or notice as having been given to B-TIC (B 1.4).
- c. B-TIC shall ensure that its Responsible Officer is effective in the role including in particular by ensuring the Responsible Officer has sufficient authority to carry out that role (B1.5).

Responsible Officer shall undertake the responsibilities of the role as defined by B-TIC.

6.4 Statement of Compliance

BTIC shall submit an Annual Statement of Compliance to Ofqual (B2.1) which shall be,

- a. Made in any form and on any date as may be notified to B-TIC by Ofqual,
- b. Accurate,
- c. Formally approved by the Governing Body of B-TIC and
- d. Signed by the chair of the Governing Body and the Responsible Officer (B2.1)

The Statement of Compliance shall specify either,

- a. That B-TIC is fully compliant with its Conditions of Recognition at the date of the statement, or
- b. That it is not so compliant, in which case the statement must describe each instance of non-compliance and the date by which B-TIC expects to rectify the failure (B2.3)

B-TIC must ensure that each of its Senior Officers are at all times a person suitable to be engaged in that role in B-TIC that is recognised for the award of the relevant Qualifications (A1.4).

The Statement of Compliance shall also specify either,

- a. That B-TIC has no cause to believe that it will be likely to fail to comply with any of its Conditions of Recognition during the period of twelve months immediately following the date of the statement or
- b. That B-TIC does have such a cause for belief, in which case the Statement must describe each instance of potential non-compliance, the grounds for believing it to be likely to occur and the steps being taken B-TIC in relation to it (B2.4).

6.5 Duty of Change of Control

A change of control takes place in relation to an Awarding Organisation where,

- a. a person obtains control of the Awarding Organisation who did not, immediately prior to doing so, have control of it, or
- b. the Awarding Organisation merges with any person.
- c. Where the Awarding Organisation is a company, sub-sections (2), (3) and (4) of section 450 of the Corporation Tax Act 2010 shall apply for the purpose of determining whether a person has or had control of the awarding organisation (Ofqual, 2020).

6.6 Cooperation with Ofqual

B-TIC must provide Ofqual with all such assistance as it may request for the purpose of undertaking, in accordance with its functions an investigation into or other monitoring in relation to the activities of that awarding organisation (B6.1).

6.7 Compliance with Regulatory Documents

Where a Regulatory Document requires B-TIC to take or to refrain from taking any action, B-TIC must comply with that requirement (B7.1).

Where a Regulatory Document sets out guidelines or principles of good practice in relation to any behaviour on the part of B-TIC, then B-TIC must have regard to those guidelines or principles before it engages in that behaviour (B7.2).

6.8 Compliance with Undertakings given to Ofqual

B-TIC must comply with the requirements of any undertaking which,

- a. It has given to Ofqual,
- b. Is in writing and
- c. States that it is an undertaking given in accordance with this condition (B8.1).

6.9 Notice to Provide Information to Ofqual

Where Ofqual serves a written notice to B-TIC requiring to provide it with any information that it seeks for the purpose of performing its functions B-TIC shall,

- a. Comply with the terms of that notice and
- b. Ensure that all information provided to Ofqual in response to such a notice is accurate and complete (B4.1).

Any such notice may include terms which,

- a. Specify the time within which the information is to be provided.
- b. Specify a form in which the information is to be provided.
- c. Require that the information is accompanied by such supporting documents or data as may be described and
- d. Require B-TIC to provide information which is already in its possession or which has to be created or obtained by it (B4.2).

6.10 Representations Regarding Qualifications

B-TIC shall not make any Statement that would be likely to lead users of Qualifications to believe that a Qualification it makes available is a regulated Qualification when it is not a regulated Qualification.

B-TIC shall take all reasonable steps to ensure that any person connected with it does not make any statement that would be likely to lead users of Qualifications to believe that a Qualification it makes available is a regulated Qualification when it is not a regulated Qualification (B5.1).

End of Policy

B-TIC has taken all effort to ensure that the Policy and information contained in this version of publication are true and accurate to the best of knowledge when published.

Disclaimer: However, Policies, Products and Services of B-TIC are subject to continuous learning and improvement frequently. Thus we reserve the right to improve the Policies, Products and Services accordingly. We cannot accept any responsibility for loss or damage of any nature upon the usage of in this document.



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