

NOTIFICATIONS OF ADVERSE EFFECTS TO OFQUAL POLICY

Policy Owner	Quality Assurance and Compliance Department
Approved By	Governing Body
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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:

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
- c. Learners

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 - A3	8	Safeguards on Change of Control
Condition - B3	25	Notification to Ofqual of Certain Events
Condition - D3	42	Reviewing Approach

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 Quality Assurance

5. Definition

Adverse Event	An event that is preventing success or development; harmful; unfavourable especially with regards to the attainment of a Qualification, Delivery, Deliver, Assessment, Quality Assurance and Award.
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6. Policy Statement

6.1 General

B-TIC shall notify the following foreseeable Adverse events to the Regulator likely to have Adverse Effect for B-TIC (B 3.2),

- a. There are one or more a substantial error in B-TIC Assessment materials raised by Quality Assurance and other Stakeholders.
- b. There has been a loss or theft of or a breach of confidentiality in any Assessment materials approved by approved for Assessment of Learners within Recognised Centres.
- c. There are failures to release Assessment materials on a scheduled Assessment date.
- d. There has been a failure in the delivery of an Assessment which threatens Assessors' ability to differentiate accurately and consistently between the Levels of attainment demonstrated by Learners.
- e. B-TIC has failed or unable to publish results or the Award of a Qualification on the stated date.
- f. There has been incorrect results or Certificates Issuance for a Qualification
- g. There has been a strong belief of incident of Malpractice or Maladministration which could either invalidate the Award of a B-TIC Qualification or affect another Awarding Organisation.
- h. There has been any reason within the control or beyond the control of B-TIC incurred an increase in costs which it anticipates will result in an increase in its fees of significantly more than the rate of inflation.
- i. B-TIC has been 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.
- j. Any B-TIC Senior Officer 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.
- k. Any accident within or outside B-TIC that would trigger a circumstance that would lead to an adverse effect on the B-TIC operations (B3.2).

B-TIC Staff, Recognised Centres, Learners, other Stakeholders or intelligence shall inform B-TIC of any event that has occurred or likely to occur which could have Adverse Effect as soon as they are aware including information relating to,

- a. The nature and cause of the incident
- b. The number of Learners affected
- c. The possible or actual impact on Learners
- d. How the incident came to light
- e. Whether other Centres/Learners/Stakeholders are aware of the incident
- f. Obtain evidence (B3.1)

6.2 Procedures

The following procedure must be followed in the likely event that any of the above events occurs,

- a. The Compliance Manager and Responsible Officer shall be informed immediately in the first instance.
- b. The Compliance Manager and Responsible Officer shall investigate the alleged event to ascertain its validity and document the investigation report.
- c. The Compliance Manager and Responsible Officer shall produce investigation report to the CEO and Board of Governors for action plan to mitigate the impact.
- d. This investigation report shall be recorded on the “risk log”.
- e. The Compliance Manager and Responsible Officer shall notify Regulators (Ofqual) as immediately as possible in the first instance using the appropriate method (through the portal using the ‘Event Notifications’ section of portal).
- f. Further Development of the investigation shall be updated to Regulators as it develops.
- g. The action plan shall be executed within 24 hours
- h. The initial alert to Ofqual must be followed by an approved action plan to manage and mitigate the impact of the event within 5 working days.

B-TIC shall make necessary improvement to Policy if necessary.

B-TIC shall communicate lesson learned and take action to prevent reoccurrence of any Adverse Events.

Notification of specified events in all cases. B-TIC shall promptly notify Ofqual if it is, or if it has cause to believe that it is likely to be, subject to,

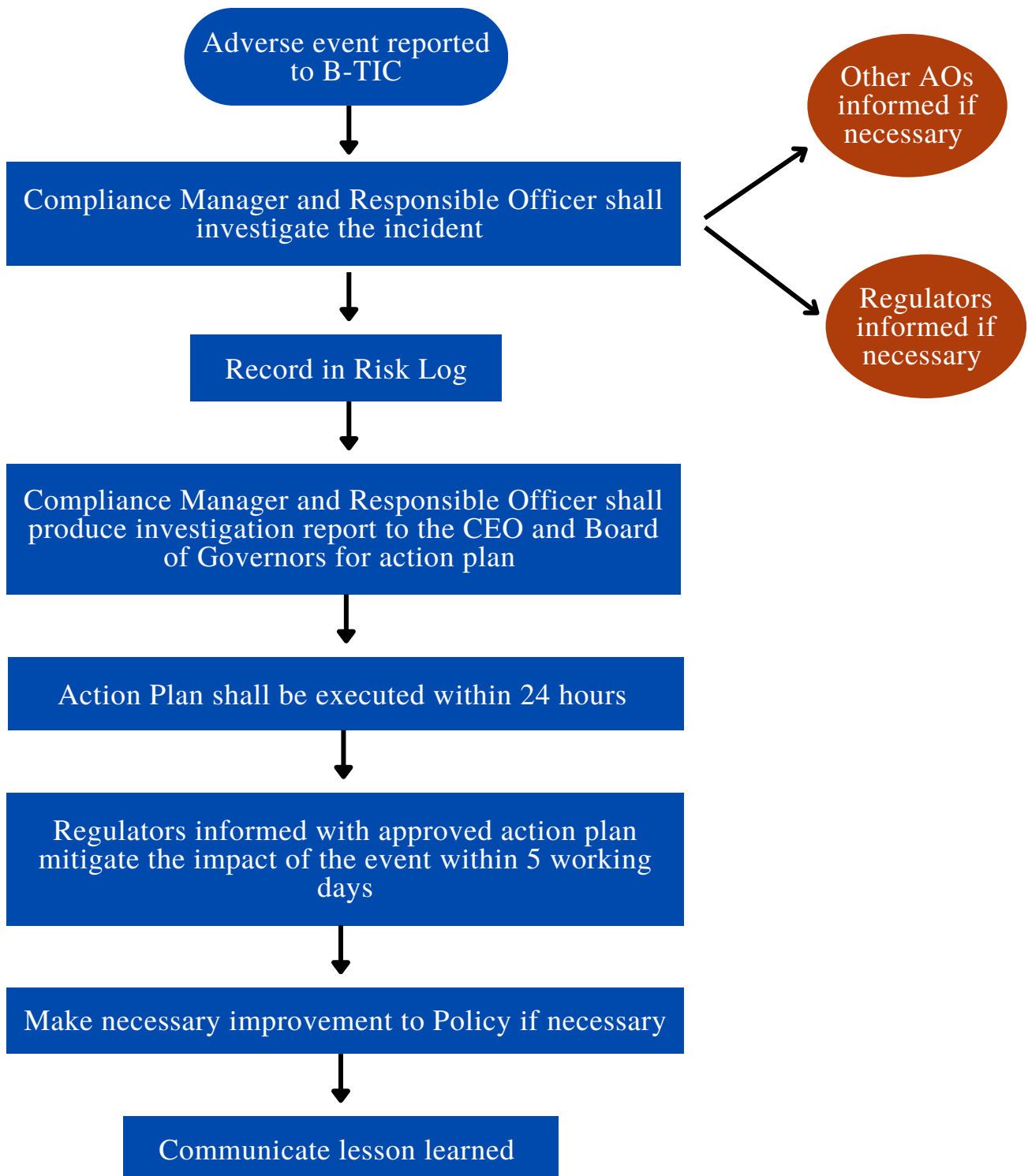
- a. A material change in its governance structure or legal status,
- b. A change of control,
- c. A merger between it and another body or
- d. Any insolvency or bankruptcy proceedings (B3.3).

B-TIC shall promptly notify Ofqual if it proposes to make a Qualification available which is substantially different in type or content to any which it has previously made available (B3.4).

When B-TIC notifies Ofqual of an event in accordance with this condition or as soon as possible. B-TIC must also notify Ofqual of any steps that it 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 (B3.5).

B-TIC shall not delay making a notification to Ofqual in accordance with this condition because relevant information is unavailable but must notify based on all the information that B-TIC has and provided further information to Ofqual once it becomes available (B3.6).

7. Process



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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B-TIC

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