



# Taking Regulatory Action

## Part 1



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# **Chapter 1**

## **Background**

### **About Ofqual**

We regulate all academic and vocational qualifications in England, together with vocational qualifications in Northern Ireland, where those qualifications are provided by a body recognised by Ofqual to provide them. Each recognised body is known as an “awarding organisation” (**AO**) and each qualification for which it is recognised is known as a “regulated qualification”.

We are a statutory body, created by the Apprenticeships, Skills, Children and Learning Act 2009 (the **Act**). The Act sets out the legal framework within which we operate; it gives us powers to take specific forms of regulatory action.

We regulate to secure standards of, and public confidence in, regulated qualifications. We also regulate to secure efficiency in the provision of regulated qualifications and to raise awareness of the range and benefits of regulated qualifications to learners, employers and higher education institutions. We aim to regulate so that, among other purposes set out in the Act, the interests of learners are protected.

We also keep under review all aspects of statutory assessment arrangements (“regulated assessment arrangements”, i.e. National Curriculum and Early Years Foundation Stage) that are delivered on behalf of the Secretary of State.

### **About this document**

This document sets out the approach we intend to follow in exercising our statutory powers to take regulatory action. It will be of interest to those whom we regulate and to others who have an interest in our approach to regulation. From time to time we will re-evaluate our approach to taking regulatory action and revise or update this document as appropriate.

This document forms part of the Qualifications Regulatory Framework, which sets out how we intend to perform our monitoring and enforcement functions.

We have different duties and powers with regard to regulated qualifications and to regulated assessment arrangements. In this document we address only the regulatory action we can take in respect of AOs and the regulated qualifications they award.

We do not deal here with our role in relation to regulated assessment arrangements - our approach to the performance of these duties is set out elsewhere.

## **Our approach to regulatory action**

We are committed to regulating in accordance with the Better Regulation Executive's five principles of good regulation. We therefore aim to be: transparent, consistent, proportionate and targeted as we undertake our regulatory role and to be accountable for our actions.

We target our regulatory activities in accordance with our assessment of risks to learners, standards, efficiency and public confidence, while having regard, amongst other matters set out in the Act, to the number of regulated qualifications available and the desirability of facilitating innovation. Our decisions are informed by evidence.

Our approach to regulating AOs is based on the premise that AOs are themselves accountable for the quality and standards of their regulated qualifications.

We will take action that is proportionate to the degree of risk associated with the nature or behaviour of a specific AO or class of AO, the type of regulated qualification in question, the number and type of affected or potentially affected learners and other users of qualifications, and the impact (or potential impact) on standards, public confidence in regulated qualifications, or the efficiency with which such qualifications are provided.

We will act consistently, but this does not mean we will always take the same action in response to similar events. We will consider all the circumstances of a case. For example, where it appears to us that an AO has failed or is likely to fail to comply with its conditions of recognition, we will take into account all the facts relevant to that AO, including its past compliance history (including whether or not the non-compliant behaviour is a one-off or part of a pattern), whether the AO has identified the issue itself and taken steps to address its behaviour, the AO's acceptance of responsibility, its co-operation with our investigations, and whether it acted in good faith.

We will be transparent in our approach. We will give reasons for our decisions and report publicly on the regulatory action we take.

In addressing any non-compliance by AOs, our approach will be informed by the Macrory report "Regulatory Justice: Making Sanctions Effective" (November 2006), and in particular the:

- six principles for regulatory compliance, namely that a regulatory action should:
  - 1) aim to change the (potential) non-compliant behaviour in issue,
  - 2) aim to eliminate any financial gain or benefit from non-compliance,
  - 3) be responsive and consider what is appropriate for the particular parties involved and regulatory issue,

- 4) be proportionate to the nature of the non-compliance and the harm caused,
  - 5) aim to restore the harm caused by the regulatory non-compliance, where appropriate, and
  - 6) aim to deter future non-compliance.
- seven characteristics of regulatory action, namely that a regulator should:
- 1) publish an enforcement policy,
  - 2) measure outcomes not just outputs,
  - 3) justify their choice of enforcement actions year on year to stakeholders, Ministers and Parliament,
  - 4) follow-up enforcement actions where appropriate,
  - 5) enforce in a transparent manner,
  - 6) be transparent in the way in which it applies and determines administrative penalties, and
  - 7) avoid perverse incentives that might influence the choice of regulatory action taken.

## **Range of regulatory actions available**

Each AO must comply with the conditions of recognition we place on it.

We may take regulatory action in order to secure our statutory objectives. In appropriate cases we may:

- in relation to a new recognised risk, impose a further condition:
  - on an individual AO or description of AOs,
  - for a specific qualification or description of qualification, or
  - in respect of credits relating to different components of qualifications or descriptions of components in qualifications,
- investigate whether any condition should be revised or removed,
- identify and address any non-compliance with a condition of recognition,
- decide or vary the surrender date should an AO wish to cease to be recognised, or
- investigate complaints in relation to the award of a regulated qualification.

## **Statutory actions**

We have a number of statutory powers available to us.

In order to enforce compliance we can, in particular:

- give a direction, and
- withdraw recognition.

We can also seek to influence an AO's behaviour by using our powers to:

- remove a general condition from a specified AO,
- impose special conditions of recognition, including
  - an entry and inspection condition, and
  - a fee-capping condition, and
- make some or all of an AO's qualifications subject to an accreditation requirement by applying an accreditation condition.

## **Non-statutory actions**

We will often use non-statutory means, at least in the first instance, to influence an AO's behaviour. We will typically use non-statutory approaches where:

- the nature and effect of the issue does not justify formal intervention
- we have not identified any non-compliance with the conditions of recognition,
- it appears to us that there has been, or is likely to be, non-compliance, but it is not significant and/or its impact on learners and others is low, or
- the AO has brought an issue to our attention and is already taking corrective or investigative actions itself.

For example, where appropriate, we may, in order to deal with an issue:

- ask an AO to propose for our agreement the action it will take to address the issue, and monitor its progress in doing so,
- accept an undertaking from an AO (given the condition of recognition that where an undertaking is given it is binding),
- publish any evidence we have found that conditions of recognition are not being complied with (whether involving an individual AO or across a number of AOs), and where appropriate make clear our dissatisfaction with the behaviour of the AO or AOs, or
- give an AO a period of time to address any failure to comply with one or more of the conditions to which its recognition is subject, and to demonstrate to us that it has done so within the timeframe.

Further, we may consider it expedient to:

- publish any evidence we have found in order to indicate that new conditions are necessary to address specified market behaviour (whether involving an individual AO or across a number of AOs), or
- ask an AO to cooperate with a regulatory review of documents or processes, or to participate in a wider study or investigation of the issues.

From time to time we might find evidence of matters that other competent authorities have the most appropriate or effective powers to address. In such cases we will refer matters to those authorities.

Examples might include: fraud which we might refer to the appropriate investigating authority; unlawful discrimination, which we might refer to the Equalities and Human Rights Commission; or anti-competitive practice which we might refer to the Office of Fair Trading.



## Chapter 2

# Imposing conditions of recognition

### General and special conditions

Each AO will be subject to conditions of recognition. Most of the conditions of recognition to which an AO is subject will apply to all AOs (**general conditions**). However, different general conditions might also be applied to different types of AOs, different qualifications or types of qualification, or in respect of credits relating to different components of qualifications or types of such components.

We may also impose additional conditions of recognition on an individual AO (**special conditions**).

The special conditions that may be applied to an individual AO include:

- entry and inspection conditions (as explained below), or
- fee-capping conditions (in development following consultation, to be published in due course).

However, we can also impose additional types of special condition where it would be appropriate to do so in the case of an individual AO.

### Imposing a new general condition or revising the general conditions

Before setting or revising general conditions we will carry out a public consultation.

We will publish the general conditions of recognition and any revisions to them.

### Imposing a special condition

We may impose a special condition at the time of recognition or at any later time.

When we are considering imposing an entry and inspection condition we will follow the procedure set out in the following section.

When we are considering any other condition we will give the AO an opportunity to make representations in response to a written notice of our intention to impose a condition of a particular type. The period we allow the AO to make representations

will be specified in the notice and will be determined by the urgency with which we need the condition to be complied with in order to have a positive impact.

## **When might we impose additional conditions of recognition on an AO?**

When we impose a condition on an individual AO the condition will be designed to address a particular issue about the AO's performance, behaviour or activities. The range of circumstances in which it would be appropriate to impose an additional condition is wide and might include, but is not limited to, the following -

- A need by the AO to address a significant failing in its IT systems that puts at risk its ability to award qualifications that meet the requisite requirements. The condition might impose a duty on the AO to report to us at specified intervals on action it is taking to address the defect or to utilise external resources to address the defect.
- A concern that the AO is entering into arrangements with centres without adequate checks, controls or safeguards such that there is a risk to learners, to standards or to public confidence. The condition might impose a duty on the AO to demonstrate to us before it enters into any new arrangement with a centre that it has undertaken appropriate checks and put in place appropriate controls and safeguards.

## **Removing a specified condition**

We may decide that an individual AO is not to be subject to a specified general condition at the time of recognition, or is to cease to be subject to a specified general condition or to a special condition at any later time.

We will do so either on considering a request from an AO to remove a specified condition or by initiating ourselves a review of the application of a specified condition.

When we determine whether or not a particular condition should be removed we will consider a range of evidence, including:

- the effectiveness or likely effectiveness of the condition in the case of the AO,
- whether the behaviour or risks that the condition was imposed to address are present or continuing,
- the risks to learners, standards, public confidence and/or efficiency of removing the condition,

- (where relevant) any changes the AO has made to its behaviour and ways of working since the condition was first imposed, and
- any costs or other adverse impact that compliance with the condition has had or will have on the AO.

## **Chapter 3**

### **Accreditation requirements**

#### **Making a qualification subject to an accreditation requirement**

We have the power to apply an accreditation requirement to all qualifications of a particular description or to specified qualifications. The accreditation requirement could be applied for all purposes (i.e. in respect of all AOs offering the relevant qualification), or for the purposes of award by a specified AO.

Where we apply an accreditation requirement, an AO which is recognised to award the relevant qualification will be subject to an accreditation condition. This means that the AO can only award a form of the specified qualification if that form has first been accredited by us.

Any duty on an AO to ensure that a form of a qualification is accredited by us will be in addition to the requirements relating to its qualifications that are imposed through the general or special conditions on AOs' recognition.

#### **Process of accreditation**

Where an accreditation requirement applies, we will undertake a check on the qualification before it can be entered on our Register of regulated qualifications and introduced by the AO to the market. An AO which is subject to an accreditation condition for that qualification must first submit the form of the qualification to us for accreditation.

We will accredit the qualification only where the form of the qualification submitted meets the criteria for accreditation most recently set and published by us for that qualification. Once accredited we will enter the qualification onto the Register of regulated qualifications. An accredited qualification can be offered to learners from such date as is specified by us.

If we refuse an application for accreditation of a qualification we will notify the applicant AO in writing of the reasons for that refusal.

#### **When might we impose an accreditation requirement?**

We will impose an accreditation requirement due to an identified risk connected with either the qualification or the AO.

We might apply an accreditation requirement to a specific qualification because of its complex nature, particular characteristics, or because of the wider impact if the qualification is not well designed, delivered and assessed.

We may apply an accreditation requirement where we do not have full confidence in an AO's own qualification design, development, approval or quality assurance arrangements to design, develop and award the qualification.

### **Consulting with the AO(s) awarding the relevant qualification(s)**

Where we apply an accreditation requirement to a specific qualification, or description of qualifications, we will consult publicly on our intention to do so.

Where we intend to apply an accreditation requirement only to a specified AO's qualifications – either to all or some of its qualifications – we will consult with the AO in question. This will be a private consultation. We will explain the reasons why we intend to make one or more of its qualifications subject to an accreditation requirement and invite the AO to make any representations it wishes to make to us and give it a reasonable period in which to make those representations.

The above consultation processes will include consideration of the accreditation criteria that we propose to make applicable for the relevant qualification(s).

### **Publishing use of an accreditation requirement and criteria**

Where we decide that all forms of a qualification or a description of qualification are subject to an accreditation requirement, or where we revise that decision, we will publish details on the decision in respect of the accreditation requirement.

We will not publish lists of qualifications to which an accreditation requirement is applied in respect of an individual AO's qualifications. However, the fact that we have applied an accreditation requirement to specified AO's qualifications may be included in our public reports.

We will also publish our accreditation criteria and any subsequent revisions to those criteria.

### **Revising the accreditation criteria**

We may subsequently revise an accreditation requirement or the criteria to which the accreditation is subject. Before we do so, we will re-consult the relevant AO(s).

Where we revise the accreditation criteria, the accreditation ceases to have effect on a date specified by us. After this date the form of the qualification will be removed from the Register of regulated qualifications.

In this event, the AO must submit a new form of the qualification which meets the revised criteria and seek re-accreditation, if it wishes to continue to market that qualification as a regulated qualification..

However, in appropriate cases, we may make and publish:

- a decision that this normal consequence of the revision to the criteria does not have effect, and/or
- an exemption or transitional provisions connected with the effect of revisions to the accreditation criteria.

### **The duration of the accreditation requirement**

We will review from time to time the application of an accreditation requirement that is applied to a qualification or a description of qualifications. Any decision we might take to remove the requirement will be informed by responses to a public consultation.

We will also review from time to time the application of any accreditation requirement where it applies to a specific AO's qualifications. Any decision we might take to remove the requirement will be informed in particular by any representations made by the AO that the requirement should be lifted.

We will take into account:

- the quality of the qualifications the AO(s) have submitted for accreditation,
- the quality of their other regulated qualifications,
- the robustness of their own qualification design, development, approval and quality assurance arrangements, and
- any evidence that the AO(s) are behaving in accordance with the conditions of recognition to which they are subject.

If, having considered this evidence, we decide that we can be confident that the AO(s)' own arrangements will ensure that their qualifications meet the appropriate regulatory requirements, without the need for further scrutiny by us, we will lift the accreditation requirement.

## **Chapter 4**

### **Giving a direction**

#### **Power to give a direction**

We may direct an AO to take or refrain from taking specified steps if it appears to us that the AO has failed or is likely to fail to comply with any condition to which its recognition is subject, and if that failure prejudices or is likely to prejudice:

- the proper award by the AO of any qualification in respect of which it is recognised, or
- learners who might reasonably be expected to seek to obtain such a qualification awarded by that AO.

A direction will be imposed with a view to securing compliance with the relevant condition.

#### **When might we give a direction?**

We might consider giving an AO a direction to take specified steps to do something or to refrain from doing something in a wide range of scenarios. These might include, but not be limited to, directions to:

- secure the consistency of the standards of its qualifications in line with those of other AOs awarding a comparable qualification,
- withdraw its approval from a centre that has been acting fraudulently,
- withhold or withdraw certificates from learners who have been guilty of misconduct in an assessment, and/or
- take steps to address behaviours that have been found to discriminate against particular learners.

#### **Decision to give a notice of intention to give a direction**

We will first give notice to the AO of our intention to give a direction. In deciding whether to serve a notice of intention to give a direction, we may consider the following:

- whether the AO accepts that it has failed or is likely to fail to comply with the relevant recognition condition,

- any actions already taken by us to encourage the AO to comply with the condition,
- any actions taken by the AO to comply with the condition, and/or
- whether any steps proposed by the AO to address its failure or likely failure will secure compliance with the condition and remove any relevant prejudice, and whether the timescale proposed by the AO for compliance is reasonable, taking into account the nature of the steps required and the degree of relevant prejudice or likely prejudice.

We will keep a record of the evidence considered.

## **Giving notice of our intention to give a direction**

If we decide to give a direction we will send to the AO's responsible officer:

- the reasons why we propose that a direction should be given and the nature of the proposed direction (including any timescale for compliance with the direction),
- information about the period in which the AO may make representations about the proposed direction, and the procedure to be followed to make representations (including the details of the designated officer at Ofqual dealing with the matter), and
- information about the steps that will be taken to enforce the direction, if it is given.

We will send the notice in writing. Where we send the notice by email, we will assume that the notice was received on the date the email was sent, unless there is evidence to the contrary.

## **Representations by the AO**

Representations will need to be made in writing to the designated officer. Representations will normally need to be received by us no later than 30 days from receipt of the notice. This period may be reduced (to such time as will be specified in the notice) where there is an urgent need to take action in order to protect the interests of learners or secure that standards are maintained. The representations should address the reasons for the proposed direction included in the notice, the reasonableness of the nature of the proposed direction and the timescale proposed for compliance.



## **Response to representations by the AO**

We will consider any representation received from an AO.

We may decide that:

- the proposed direction should be given,
- a different direction should be given,
- no direction should be given,
- further information should be provided by the AO, within a given time period, to support its representations, following consideration of which a final decision will be taken in respect of the direction, or
- the notice of intention to give a direction should be substituted with a notice of an intention to withdraw recognition.

## **Enforcing compliance with a direction**

Where we exercise our power to direct an AO to take or refrain from certain action, and the AO fails to do so in accordance with the direction, we may apply to the court for an order stating that it must comply. A failure to comply with a court order compelling the AO to do as directed may result in it being in contempt of court.

We will publish any decision to impose a direction.

## **Amendment or revocation of a direction**

We may amend or revoke a direction after it is given.

Where we intend to amend a direction, we will follow the same process as for giving a direction, in particular:

- we will give notice of our intention to amend a direction before taking any further action,
- the notice of intention to amend a direction will follow the same process and contain the same information as if we were intending to give a direction (see above), and
- in making our decision as to whether to amend a direction, we will consider any representations made by the AO during the period specified for representations in the notice.

## **Chapter 5**

### **Entry and inspection**

We expect that an AO will normally co-operate with any reasonable request we might make to be provided with information or documentation, or to allow us access to their premises, where such cooperation would help us to fulfil our duties. Each AO is subject to a general condition to respond to information requests we might make, and to provide assistance to us in connection with our functions.

However, in appropriate cases we will impose an entry and inspection condition.

#### **Entry and inspection conditions**

An entry and inspection condition requires an AO to permit us to enter premises controlled by the AO for the purposes of inspecting and copying documents.

We are subject to certain statutory limitations relating to the situations in which an AO would be required to permit us entry under an entry and inspection condition. These are that:

- we can only require entry to premises that are not being used as a private dwelling,
- entry must be by an authorised person (a member of our staff who is authorised for the purpose of entry and inspection),
- reasonable notice must have been given to the AO, and
- entry must be at a reasonable time.

#### **Setting of an entry and inspection condition**

We will use a risk based approach in considering whether or not to set an entry and inspection condition for an AO.

Factors that we will consider might in particular arise from circumstances in which:

- we are considering setting a fee capping condition on the AO,
- we have reasonable grounds to believe that there is an ongoing risk to the maintenance of standards in relation an AO's own qualification design, development or assessment arrangements,

- the AO has a history of non-compliance with the conditions of its recognition,
- the AO has a history of financial difficulty,
- we have other reasons to believe that the AO might not co-operate with us by providing us with the full and accurate information we require for the purposes of effective regulation.

### **When we will seek to exercise the entry and inspection condition**

In appropriate cases, we will seek to exercise our powers under an entry and inspection condition so far as is necessary to:

- satisfy ourselves that the appropriate standards are being maintained by an AO in relation to the award of any qualification for which the AO is recognised, or
- determine whether to impose a fee capping condition and, if so, what that condition should be.

Appropriate cases may, for example, include those in which -

- a) We have grounds to believe that an AO has been involved in malpractice or maladministration in relation to the award of a regulated qualification and it is important for us to preserve the integrity of evidence.
- b) We need to inspect or copy documents which have previously been requested but which the AO has been unable or has refused to supply. (But An AO would be able to exclude from inspection any documents that were subject to legal privilege, that is, certain communications with its lawyers.)
- c) We have not otherwise been able to obtain information needed to inform a decision to impose a fee-capping condition.
- d) We are responding to incidents, for example security breaches with live question papers, which could affect the maintenance of standards and undermine public confidence. We may wish to visit at short notice to inspect an AO's arrangements for the storage of live question papers.
- e) We need to gain access to computer records that are key to the maintenance of standards of a regulated qualification and that can only be accessed at the AO's premises.

Before seeking to exercise the entry and inspection condition, we will give consideration to the:

- information being sought,
- justification as to why a visit to the AO's premises is necessary, and
- amount of notice that should be given to the AO.

## **Procedure for exercise of an entry and inspection condition**

### **Notice**

Where we require information, we will give an AO reasonable notice and, where possible, details of the information required.

The method of delivery of the notice will be determined by the urgency of visit. The notice will set out the reasons for entry. If entry is required specifically in order to access computer systems, we will endeavour to give notice of the need to provide suitably trained personnel to enable us to access records.

### **Authorised persons**

Entry to an AO's premises must be by an authorised person. An 'authorised person' is defined as being a member of our staff who is authorised (generally or specifically) for this purpose.

We will maintain a record of all staff who are authorised to enter AO's premises. Authorisation will normally be restricted to staff who are routinely engaged in regulatory or complaint investigation activities. All staff visiting an AO will have information on the purpose of the visit. The AO can contact us for confirmation that the member of staff is authorised by us to enter premises under an entry and inspection condition.

### **Reasonable notice**

The amount of notice given to an AO of our intention to seek entry to inspect depends on the reasons why we wish to enter and inspect.

When giving an AO reasonable notice that we wish to enter its premises, we have to balance the interests of the AO against the need to preserve the integrity of the information/evidence being sought and the urgency of any subsequent action that may need to be taken.

This will be particularly important in cases where we may have grounds to believe that there is a significant risk that an AO will remove, amend or destroy the information/documentation which we may wish to inspect and copy.

We would normally ensure the AO is given a minimum of two working days' notice of the arrangements for the visit, but this may need to be reduced if there is an urgent need to access information in order to ensure the maintenance of standards or public confidence in the qualification arrangements.

In instances where we need to enter premises urgently, for example in response to allegations of serious malpractice, it may be appropriate to give a minimum of one hours' notice.

### **Reasonable hours**

We would normally expect to be permitted to have access whenever an AO is conducting its business. We would expect to have access during office hours, but would also expect access to be permissible when an AO is holding meetings or undertaking other activities later in the day or at the weekend.

### **Access to other premises**

Where an entry and inspection condition exists, we will expect to have access to any premises where an AO conducts its business, but not to a private dwelling. In the event that we are unable to access premises because the AO is operating out of a private dwelling we will consider whether we should use other regulatory actions available to us.

Where the information/documents which we require are held by a centre or a third party contracted by the AO to support the delivery of qualifications, we would expect the AO to cooperate and obtain the necessary information/documents from these parties.

To enable us to carry out our normal monitoring and enforcement functions, an AO will need to ensure that each centre agrees to provide both it and us with access to premises, people and records, and to cooperate with the AO's own review and quality assurance activities and ours. This is covered by a general recognition condition.

## **Chapter 6**

### **Withdrawal of recognition**

#### **Decision to withdraw recognition from an AO**

We may withdraw recognition from an AO - in full or in respect of specified qualifications or a description of qualifications - if the AO has failed to comply with any condition to which its recognition is subject, and if it appears to us that the failure prejudices or is likely to prejudice:

- the proper award by the AO of any qualification in respect of which it is recognised, and/or
- learners who might reasonably be expected to seek to obtain the relevant qualification awarded by the AO.

#### **Decision to give a notice of intention to withdraw recognition**

We will first give notice to the AO of our intention to withdraw recognition.

Our thinking will be informed by a consideration of at least the following issues:

- whether the AO accepts that the condition has been breached,
- any actions taken by us to encourage the AO to comply with the condition, including whether a direction has been given,
- any actions taken by the AO to comply with the condition and any direction,
- whether any steps proposed by the AO to address the failure will secure compliance with the condition and remove any relevant prejudice, and whether the timescale proposed by the AO for compliance is reasonable, taking into account the nature of the steps required and the degree of relevant prejudice or likely prejudice,
- the impact the withdrawal of recognition would have on learners,
- the impact a failure to withdraw recognition might have on learners, standards and/or public confidence in regulated qualifications, and
- the nature of any saving or transitional provisions to be made to protect the interests of learners or for any other reason.

We will keep a record of the evidence considered.

## **When might we withdraw recognition from an AO?**

Withdrawing recognition from an AO is the most significant regulatory action we can take. We therefore expect to use the power infrequently.

The situations in which withdrawal of recognition might be proportionate to a breach by an AO of one or more of its recognition conditions might include those in which there is:

- a repeated failure by the AO to take appropriate sanctions (which it is capable of taking) against a centre which makes available the qualification for which the AO is recognised and which has been or is acting fraudulently with regard to learners or their assessments,
- a major failure by an AO
- a failure to address malpractice within the AO,
- a repeated failure to make awards to learners that they deserve.

Where the condition that is breached is a condition that reflects a recognition criterion (such that a person/body who is applying for recognition would be required to meet it in order to obtain recognition), withdrawal of recognition is likely to be much more strongly indicated as the appropriate action.

## **Giving the notice of intention to withdraw recognition**

Before we take a decision to withdraw recognition, we will give the AO notice of our intention to do. This notice of intention will be sent to the AO's chair (or equivalent) and to its responsible officer.

The notice of intention to withdraw recognition will include:

- the reasons why we propose that recognition should be withdrawn, the date of the proposed withdrawal, and whether the proposed withdrawal is in respect of all or only particular qualifications or types of qualification for which the AO is recognised,
- any saving or transitional provisions that we intend to make to protect the interests of learners or otherwise should the recognition be withdrawn as proposed, and

- information about the period in which the AO may make representations about the proposal, and the procedure to be followed to make representations (including the details of the designated officer at Ofqual dealing with the matter).

We will send the notice in writing. Where we send the notice by email, we will assume that the notice was received on the date the email was sent, unless there is evidence to the contrary.

We may, in appropriate cases, publish the notice of intention and consult with other interested parties.

## **Representations by the AO**

Representations will need to be made in writing to the designated officer. The representations should address the reasons for the proposed withdrawal of recognition included in the notice, the reasonableness of the proposal and any saving or transitional arrangements, and the date for the proposed withdrawal.

Representations must normally be made no later than 30 days from receipt of the notice. This period may be reduced (to such time as will be specified in the notice) where there is an urgent need, in the interests of learners and/or to secure that standards of regulated qualifications are maintained, to expedite the timetable for a final decision to be made. In such cases the time allowed for the AO to make representations might be very limited.

## **Response to representations by the AO**

We will consider any representation received from an AO.

The following decisions may be made:

- the withdrawal should proceed as proposed in the notice,
- the withdrawal should proceed subject to an amendment to the timing of the withdrawal and/or the scope of the withdrawal,
- the withdrawal should not proceed, but should be replaced with a notice of an intention to give a direction,
- the withdrawal should not proceed, but further efforts should be made to secure compliance with a direction previously given,



- the withdrawal should not proceed, or
- further information should be provided by the AO, within a given time period, to support its representations following consideration of which a final decision will be taken in respect of the appropriate regulatory action to be taken.

### **Final decision notice**

If we decide to withdraw recognition from an AO, we will give notice in writing to the AO of our decision and of the date on which withdrawal is to take effect, and any saving or transitional provisions we deem appropriate.

By giving further notice, we may vary the date on which the decision is to take effect at any time prior to the original date specified in the final decision notice.

### **Independent review of a decision to withdraw recognition**

An AO may request a review of a decision to withdraw recognition. If such a request is made, an independent person, appointed by us for the purpose, will undertake the review.

A request for a review must be submitted by the AO in writing to the designated officer no later than 30 days after receipt of the confirmed decision to withdraw recognition. The review of the decision would normally be completed within 60 days of the receipt from the AO of a request for a review of the decision.

The independent reviewer will consider the evidence that informed the original decision and any representations made by the AO. The independent reviewer may also decide to consider new evidence if that evidence could not reasonably have been provided to us prior to our decision to withdraw recognition.

The independent reviewer may also seek advice from other experts with skills relevant to the review, but the final recommendation would be made by the reviewer alone.

The independent reviewer will consider whether the:

- process we used to make our decision to withdraw recognition was fair, and
- decision was reasonable taking into account all the relevant evidence.

The independent reviewer may:

- confirm that the process by which our decision was taken was fair and that our decision was reasonable, or
- remit the matter to us to be reconsidered and make recommendations for us to consider particular evidence or remedy any defects in our process.

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