

# Regulations for Licensing (RfL)

Issue 1.4  
2024

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# 1 Scope

These Regulations<sup>1</sup>, and supporting annexes, are produced in accordance with Regulation 2B of the Engineering Council and describe the process for professional engineering institutions to achieve and maintain their status as an Engineering Council Licensee.

They are intended to provide clarity for all stakeholders in the process: from professional engineering institutions considering whether to apply to be licensed, to those maintaining their licence and to those individuals conducting the licence assessment.

These Regulations are reviewed regularly by the Engineering Council Quality Assurance Committee (QAC) and the current version is available on the Partner Portal.

If issues arise outside the current scope of these Regulations, QAC will agree appropriate policy or process changes. These will be recorded and communicated to Licensees and these Regulations amended at the next revision.

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<sup>1</sup> Prior to Version 1, this document was entitled 'The Licensing Manual'.

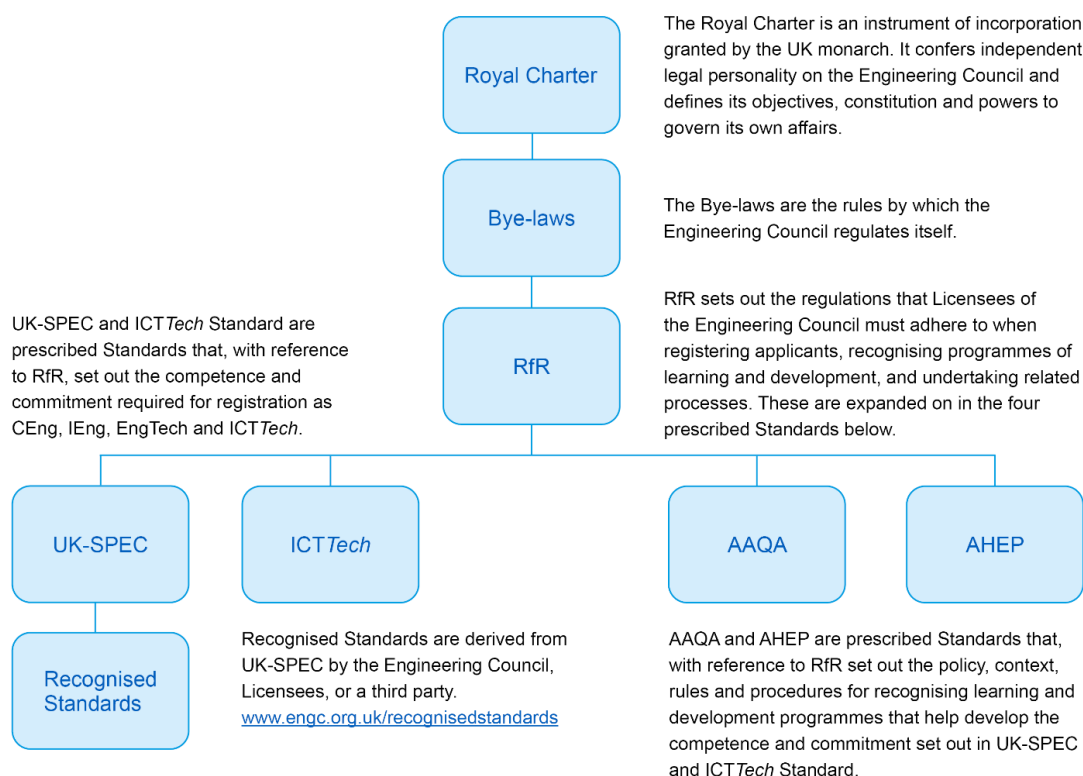
## 2 Hierarchy of Regulations and Prescribed Standards

The Engineering Council is the UK's regulatory body for the engineering profession. It operates under a Royal Charter and is governed by a Board that represents UK Licensees as well as individuals from industries and sectors with an interest in regulation of the profession.

The Engineering Council publishes the following documents on behalf of the UK engineering profession, with whom they were developed, and are kept under review.

- Regulations for Registration (RfR)<sup>2</sup>
- The UK Standard for Professional Engineering Competence and Commitment (UK-SPEC)
- Information and Communications Technology Technician Standard (ICTTech)
- Approval and Accreditation of Qualifications and Apprenticeships (AAQA)
- Accreditation of Higher Education Programmes (AHEP)

The relationship between these publications is:



The Engineering Council also publishes policy statements, guidance for institutions and guidance for individuals. These, along with all the publications listed above, are available on the Engineering Council website: [www.engc.org.uk](http://www.engc.org.uk)

<sup>2</sup> Between version 3 and version 4.1 this document was entitled 'Registration Code of Practice' (RCoP).

### 3 The Licence

In accordance with the Charter, the Engineering Council can award a professional engineering institution a licence for:

- Assessing applicants for entry to the Register
- Accrediting or approving programmes of education or professional development that support admission to the Registers

Whilst all Licensees are licensed to assess applicants for entry to the Register, the same is not necessarily the case for accreditation / approval activities, resulting in variance in terms of the scope of the licence held by all Licensees.

Specific licensed activities are referenced in '4 Licensing Process'.

All Licensees (e.g. professional engineering institutions that have been awarded a licence) shall demonstrate conformity to the Engineering Council [Charter](#), [Byelaws](#), and [Regulations](#).

Conformity shall also be required against the relevant standard for each part of their licence:

- [UK Standard for Professional Engineering Competence \(UK-SPEC\)](#)
- [Information and Communications Technology Technician \(ICTTech\)](#)
- [Accreditation of Higher Education Programmes \(AHEP\)](#)
- [Accreditation and Approval of Qualifications and Apprenticeships \(AAQA\)](#)
- [Regulations for Registration \(RfR\)](#)

#### 3.1 Recognised Standards

As per the Regulations for Registration (RfR), *“Recognised Standards are standards derived from UK-SPEC, such as proprietary sector-specific or specialist standards published by the Engineering Council; and standards derived from UK-SPEC by licensees.*

*All Recognised Standards shall comply with the terms set out in the Guidance Note on Recognised Standards”, which specifies:*

##### Reference Standard

The Reference Standard comprises the UK Standard for Professional Engineering Competence (UK-SPEC). It is owned by the Engineering Council and reviewed periodically.

##### Proprietary Standard

A proprietary standard is a variant standard developed by the Engineering Council, in collaboration with multiple licensees. Licensees use the Proprietary Standard as published – they do not develop their own version.

Individuals registered against a Proprietary Standard are explicitly identified as such on the Engineering Council register or section of the register. Proprietary Standards are based on the Reference Standard (UK-SPEC) but may be designed to meet other standards in addition to UK-SPEC.

Licensees must hold the appropriate licence to elect applicants to a specific Proprietary Standard section of the Register.

## Derived Standard

Regulations for Registration paragraphs 13 and 14 require that:

Licensees shall establish criteria and procedures for assessing applicants for registration. Each Licensee shall adopt its own standard of competence and commitment derived from and meeting that in UK-SPEC, which can be assessed objectively and which relate to the technologies and applications with which it is concerned.

Proprietary Standards are standards developed by the Engineering Council, fully meeting UK-SPEC, such as sector-specific or specialist standards. Derived standards may be developed by Licensees, based on and fully meeting UK-SPEC (or a Proprietary Standard). All such Derived Standards shall be subject to authorisation by Quality Assurance Committee.

Such Derived Standards may add to or contextualise the competence statements set out in UK-SPEC or a Proprietary Standard but must require that candidates demonstrate the competence and commitment appropriate to the registration category fully. Derived Standards are often fully aligned to one or more of the licensee's membership categories and may include the award of a title by the licensee under its own charter. Licensees may adopt and use the unmodified Reference Standard, where the Reference Standard meets the requirements of RfR paragraphs 13 and 14 above

In being licensed to assess applicants against the Reference and/or Proprietary Standards, Licensees are able to develop Derived Standards without the need for holding a separate licence.

Review Panels shall undertake a detailed comparison of the licensee's standard, ensuring it incorporates all the requirements of either the Reference or Proprietary Standard, and observe delivery of the supporting assessment processes.

### 3.2 Obligations and Conditions

The licence states the obligations of both the licensor and the licensee. To be valid, the licence shall be signed on behalf of the Engineering Council and the Licensee by the respective CEOs, or suitable equivalent, and shall be dated from the last day of the month of the appropriate QAC meeting.

In addition to the requirements as stated within the mentioned standards, special conditions may also be applied to a licence, impacting how a licensee undertakes specific activities.

Such conditions include, but are not limited to:

- Engineering Council Liaison Officer to assist and support specific licensing activities,
- Detailing the specific recognised standards for which the Licensee is licensed,
- Specific activities only to be undertaken in partnership with another licensee.

Failure to adhere to the obligations or conditions of the licence could be raised as a non-conformity during the licensing process. Licence conditions can be added / amended / removed outside of licence reviews subject to QAC approval.

## 4 Review Panels

To enable the Licensing Process, a review panel is allocated to each Licensee and is constituted of:

- Review Panel Chair (a member of QAC)
- Liaison Officer(s)
- Engineering Council staff (as secretariat)

### 4.1 Quality Assurance Committee (QAC) / Review Panel Chairs (RPC)

The decision to award and/or renew licences is undertaken by QAC, an Executive Committee of the Board, from whom it derives its authority.

This includes:

- Awarding a new licence
- Adding an activity to an existing licence
- Renewing a licence
- Suspending a licence
- Withdrawing a licence

The decisions of QAC are based on a risk-based approach to sampling. As such, it does not necessarily imply total conformity to all requirements. If issues subsequently do occur, Engineering Council reserves the right to alter the terms of the licence, suspend or withdraw it. If a licence is withdrawn, affected registrants have one year to transfer to another Licensee before being removed from the Register, as set out in the Regulations.

A new licence, or the addition of a new activity to an existing licence, shall be awarded for up to two years, whilst renewal of the licence shall be for a period of up to five years.

QAC is comprised of registrants, nominated by Licensees and Professional Affiliates, who serve for up to two three-year terms, and are experienced in the conduct of licensed activities at their nominating institution.

QAC members are allocated at least one licensee for whom they will act as Review Panel Chair, usually for the duration of their time on the Committee.

As Review Panel Chair, the QAC member is responsible for:

- Chairing licence reviews and annual risk assessments
- Oversight of actions resulting from licence reviews
- Oversight of Liaison Officer reports

### 4.2 Liaison Officers (LOs)

Similar to QAC members, LOs are registrants nominated by Licensees and Professional Affiliates, and are allocated to other Licensees, maintaining close contact with institutions as observers at licensed activities such as committee meetings, Professional Review Interviews (PRIs) and accreditation visits. As part of the annual risk assessment process, LOs observe,

and report on, the main risks identified at their allocated licensee. Further information can be found under the Liaison Officer Monitoring Process section of these Regulations.

Additional volunteers may join Review Panels in instances where relevant engineering experience is required (e.g. the review of a derived standard).

### **4.3 Engineering Council Licensing department**

The Licensing department provides secretariat and facilitates the licensing process in addition to running workshops to:

- Encourage improvements in processes
- Improve consistency and transparency of standards
- Exchange good practice
- Encourage further collaboration

## 5 Licensing Process

### 5.1 Licence Reviews

An underlying principle of the licensing process is that all licensed activities shall be a subject to formal review at least every five years. This is usually scheduled so that all activities are assessed as part of a singular five-year licence review. Such a review will assess conformity of all activities noted within the respective licence.

Instances of when specific licensed activities may be subject to a separate, additional review include:

- Following the award of an addition to an existing licence
- As an output from the annual risk assessment

### 5.2 Annual risk assessment

In addition to licence reviews, licensees are also subject to an annual risk assessment, the main objectives are:

- To review the activities of each licensee, specific to its licence, for the previous 12 months.
- To identify the main areas of risk regarding potential non-conformity to licensing requirements.
- To determine the level of monitoring, specifically for the noted risks, for the following 12 months.

The risk of non-conformity for each category of assessment is determined by the probability and impact of the risk, the latter being from the perspective of the Engineering Council (e.g. reputation, resource and integrity of register and/or standards).

All aspects of the licensing process rely on an assessment by the Review Panel based on the evidence provided. The Review Panel then provide a recommendation to the QAC for consideration.

### 5.3 Licence Applications

For further information on licence applications, please see Annex A.

## 5.4 Categories of Assessment

To aid the assessment process, the Review Panel considers the following categories for each Licensee:

- Governance
- Management
- Registration
  - Assessing applicants for entry to the Register for:
    - Chartered Engineer (CEng)
    - Incorporated Engineer (IEng)
    - Engineering Technician (EngTech)
    - Information and Communications Technology Technician (ICTTech)
  - Assessing applicants against proprietary standards
- Accreditation / Approval of qualifications and apprenticeships
- Accreditation of academic programmes
- Accreditation / Approval of professional development schemes
- Continuing Professional Development (CPD)
- International
- Promotion of registration

## 6 Licence Reviews

All licensed activities and categories of assessment shall be assessed at least once within each five-year licence period. Usually, the five-year licence review will cover all aspects however there may be occasions where the Review Panel chooses a programme of assessment over the five-year period.

The format of a licence review, e.g. whether it is conducted as a visit or online, will be agreed by all parties (e.g. Licensee and Review Panel). In the event of a Review taking place online, short sessions may be arranged to test any software required for the meeting.

### 6.1 Documentary Submission

While scheduling the review, the Licensee will be requested to provide a documentary submission that covers all categories of assessment appropriate to the licence. Below is a template submission list across all categories:

#### *Governance*

- Code of Conduct
- Disciplinary Procedure
- Annual Report and financial summaries for the previous three years
- Strategic Plan
- Risk Register
- Risk management procedures in relation to licensed activities
- Terms of Reference for those committees concerned with licensed activities

#### *Management*

- Appeals Procedure against registration decisions
- Internal audit procedure
- Internal audit programme / schedule and a selection of reports conducted, across all licensed activities, since the last review
- Details of assessors (across all licensed activities) and evidence of their competence, including date of last training
- Staff organisation chart
- Committees and Panels chart

#### *Registration*

- Procedures for all registration pathways (inc. any annexes / additional documents that are referenced as part of the registration process). Such procedures shall refer to:
  - Pathways for applicants who do not hold recognised qualifications that fully meet the required underpinning knowledge and understanding
  - Pathways for applications against recognised standards (if applicable)
- Details of any recognised standards in use by the Licensee (if applicable)
- Procedures for revalidation (inc. template paperwork, e.g. submission / assessment forms) (if applicable)
- Registration agreements with Professional Affiliates (if applicable)
- Templates of Professional Review paperwork, e.g. application / assessment forms for all stages of the process, inc. successful / unsuccessful letters
- Minutes for relevant committees / panels for the previous 12 months

- The records of any decisions where a PRI recommendation was rejected
- A sample of registrant application / revalidation files (both UK and international, to be specified by the Review Panel prior to the review)

Please note documents relating to revalidation are only required from Licensees that assess applicants against proprietary standards for building safety (e.g. UK-SPEC HRB).

#### *Accreditation and Approval of qualifications and apprenticeships*

- Procedures for accreditation / approval (including any annexes / additional documents that are referenced as part of the accreditation / approval process)
- Templates of Approvals paperwork, e.g. application / assessment forms for all stages of the process, successful and unsuccessful letters
- Minutes for relevant committees / panels (for the previous 12 months)
- A sample of reports, usually determined by the licensee, of qualifications and/or apprenticeships approved since the last review

#### *Accreditation of academic programmes*

- Accreditation procedures (including any annexes / other documents that are referenced as part of the accreditation process)
- Templates of Accreditation paperwork, e.g. application / assessment forms for all stages of the process, successful and unsuccessful letters
- Minutes for relevant committees / panels (for the previous 12 months)
- A sample of reports, usually determined by the licensee, (both UK and international) of programmes accredited since the last review
- The records of any decisions not to visit all providers other than an awarding institution
- The records of any arrangements for periodic review approved by the Engineering Council Registration Standards Committee

#### *Accreditation / Approval of professional development schemes*

- Accreditation / approval procedures (including any annexes / additional documents that are referenced as part of the accreditation / approval process)
- Templates of Approvals paperwork e.g. application / assessment forms for all stages of the process, successful and unsuccessful letters
- A sample of reports, usually determined by the licensee, of schemes accredited / approved since the last review
- Minutes for relevant committees / panels (for the previous 12 months)

#### *Continuing Professional Development (CPD)*

- CPD procedures (inc. details on CPD sampling and feedback)
- A sample of CPD records, usually determined by the licensee, and the feedback provided

#### *International*

- Copies of all current licence-related international agreements (if applicable)
- Procedures for dealing with applications via mutual exemption procedures, inc. the Recognition of Professional Qualifications Amendment (EU Exit) Regulations (2019)

#### *Promotion of registration*

- Details of promotional and marketing strategy for registration (may include work with employers, education providers)

- Potential applicant throughput i.e. analysis of membership and potential membership / pipeline of potential registrants

Information requested by the Engineering Council shall be supplied within agreed timescales prior to the review.

Licensees shall provide the submission in whatever format is the most convenient for all parties. This may be over a secure file-sharing website.

There may be occasions when supporting documentation may be provided to Engineering Council advisory standing panels for review to assist Review Panels.

Licensees should also note that, in accordance with their participation in international accords, any documentation supplied relating to the licence, can be made available to external reviewers on a confidential basis and with notice.

## **6.2 Pre-meeting**

A pre-meeting of the Review Panel is held in advance of the licence review to determine the agenda and identify the main discussion points on which to focus the review. The Panel will check that all aspects of the requested documentary submission have been provided and may ask the Licensee to supply further information to clarify issues in the submission. There may be occasions where additional pre-meetings take place if, following the initial meeting, clarification / further discussion is required on specific matters prior to the Review.

## **6.3 Licence Review meeting**

Expected attendees for the Licensees include:

- Senior staff members with responsibilities for licensed activities (this includes the Chief Executive however it is noted that in order to ensure the most efficient use of attendees' time, flexible attendance is permitted).
- Chairs of committees with responsibilities for licensed activities

Following a review of registration / CPD files (which can take place prior to the Review), the meeting typically starts with introductions and a short presentation by the Licensee on their current status and future plans. The discussion will then largely focus on the matter identified at the Pre-Meeting. The meeting then adjourns to permit the Review Panel to privately consider the outcomes and overall recommendation to QAC. The meeting reconvenes for the recommendation to be presented, with an opportunity for the Licensee to seek clarification of the outcomes identified.

Occasionally, licence reviews may be held jointly with the Science Council and/or the Society for the Environment, as they have a similar approach to licensing. Such an approach can help minimise resources and volunteer time. Normally, the licensing bodies will make an assessment on the extent of commonality in the agenda and only proceed with a joint review when there are sufficient areas of mutual interest. It should be noted that the requirements of

the different bodies are not fully aligned and therefore part of the agenda may be dedicated to requirements of each organisation.

#### 6.4 Outcomes

The Review Panel will agree an overall recommendation to be made to QAC regarding the licence:

- **Renewal of a licence** (for up to five years)
- **A licence is not renewed** (the full licence, or a specific licensed activity does not continue beyond the current expiry date)
- **Licensee relinquishes its licence** (the full licence or a specific licensed activity)
- **Addition of a special condition to the licence** (Review Panels can also recommend the addition / removal of licence conditions outside of licence reviews / annual risk assessments however would be subject to approval at the subsequent QAC meeting)
- **Withdrawal or suspension of a licence** (the full licence or a specific licensed activity)

The Review Panel will also agree individual outcomes:

- **Non-conformity** – a non-fulfilment of a requirement
- **Improvement** – a requirement for the Licensee to improve an existing process or procedure
- **Notification** – the Licensee to inform Engineering Council of an action (e.g. updating a key document)
- **Recommendation** – a request for the Licensee to consider a process or procedure, following established good practice not directly linked to an Engineering Council requirement.
- **Matter for Engineering Council** – usually for Engineering Council to supply information.

Licensees will also be notified in the event of any amendments to the areas of Liaison Officer monitoring as a result of the Licence Review.

## 7 Desktop Reviews

A desktop review may be recommended as an output from the annual risk assessment. An example of this would be if significant concerns were identified with documented procedures and/or implementing licensing requirements.

### 7.1 Submission

Once the need for a desktop review has been identified, the Licensee will be requested to provide a documentary submission, focusing on the specific categories of assessment. Examples of what could be requested are the same as the licence review submission list.

### 7.2 Assessment

The Review Panel shall set a deadline to review the submission and may set up a meeting to discuss the submission. In the event of a meeting taking place, representatives of the Licensee (staff and / or volunteers) should make themselves available to join the meeting to address any queries. Such a meeting will usually take place online.

### 7.3 Outcomes

The Review Panel will agree individual outcomes after the review:

- **Non-conformity** – a non-fulfilment of a licence requirement
- **Improvement required** – a requirement for the Licensee to improve an existing process or procedure
- **Notification** – the Licensee to inform Engineering Council of an action (e.g. updating a key document)
- **Recommendation** – a request for the Licensee to consider a process or procedure, following established good practice not directly linked to an Engineering Council requirement.
- **Matter for Engineering Council** – usually for Engineering Council to supply information.

Licensees will also be notified in the event of any amendments to the annual monitoring and assessment activity as a result of the Licence Review.

## 8 Reporting / Outcomes

A report is prepared following a licence / desktop review.

The Licensing staff member present at the review will draft the report and first send to the Review Panel for comment before then sending to the Licensee for a check for factual accuracy. Any changes requested by the Licensee will be subject to the approval of the Review Panel Chair. Following any amendments, the report is presented at the subsequent QAC meeting for review / approval.

Once a recommendation has been confirmed by the Review Panel, it cannot be amended prior to the QAC meeting.

In the rare circumstance that the Licensee challenges the recommendation, the Licensee will have the opportunity to provide commentary as an attachment to the report, which will be presented to QAC.

### 8.1 Delegation of authority to Review Panel

As part of the decisions made by QAC with respect to the awarding / renewal of licences, there is also scope to delegate authority to Review Panels to renew the licence subject to the outcome of an informal desktop review of relevant documentation e.g. audit trail of registration applications.

### 8.2 Licence Decision Process

QAC may decide to **accept**, **modify** or **reject** the recommendations of a licence review report. Modifications could include changes to the agreed timescales or the type of outcome to ensure consistency with other reports. Rejection will result in further discussions to agree a course of action. Further meetings with the Licensee may be required to clarify concerns and agree a way forward.

### 8.3 Timescales of Outcomes

The timescale of an outcome from a review is determined by factors such as the nature of the outcome, the scope of documents requiring updating, the frequency of how often the relevant committee meets etc.

To ensure a level of consistency for Review Panels, the below timescales are suggested as general guidance.

#### Non-conformity

- All identified non-conformities should be prioritised by the Licensee – up to 6 months

#### Improvement

- Revision to documentation (e.g. registration / accreditation procedures) – up to 6 months
- Incorporating a specific topic into future assessor training sessions – up to 12 months

## **Notification**

- Providing final versions of governance documentation (e.g. Code of Code, Terms of Reference) – up to 6 months
- Providing update to activities linked to Licensee’s strategic direction (e.g. implementation of new CRM system, international growth, amendments to membership grade structure) – up to 12 months

## **Recommendation**

- Requesting the Licensee consider an amendment to a current process – up to 6 months

### **8.4 Communication of outcomes**

Subsequent to a licence being approved by QAC, a licence will be produced, signed by the Engineering Council CEO and sent for signature by the CEO (or equivalent) of the Licensee. This must then be returned to Engineering Council.

Subsequent to a decision to suspend or withdraw part or all of the licence, a letter will be issued to the Licensee. Where appropriate, this will also communicate the scope and timescale of a suspension. In the interest of transparency with the public, the Engineering Council website will be updated to reflect this.

### **8.5 Non-Conformities**

In the event of a non-conformity being identified as part of ongoing monitoring (e.g. Liaison Officer attendance at a licensed activity), Review Panels can recommend a non-conformity be raised without the need to wait for the next scheduled licence review.

Before a formal report is drafted, the Licensee would first be advised and provided an opportunity to respond with any information that may help to clarify the situation. Should the Review Panel still wish to recommend a non-conformity, a report will be drafted, sent to the Licensee for a check for factual accuracy, and presented at the next QAC meeting for review.

As with licence reviews, Licensees would be notified of the decision, including a confirmed copy of the report, shortly following the QAC meeting.

### **8.6 Monitoring of review outcomes**

The progress of actions, to address the identified outcomes, will be reviewed regularly at QAC meetings.

If a Licensee is no longer able to complete their action(s) in the agreed timescale, they shall notify the Review Panel as soon as possible and request an extension. Failure to do so would result in non-conformance to the requirement to “*co-operate fully with the Licensor in*

*respect of periodic review as set out..., including timely completion of agreed actions”<sup>3</sup>, and could result in a non-conformity being raised.*

It is essential that non-conformities are addressed as a priority by the Licensee. In judging the overall severity of a non-conformity, QAC will assess the risk both to the maintenance of the Register and the public against the disruption to potential new registrants. When a non-conformity has been raised, the Licensee may be expected to provide a progress update prior to the agreed due date.

## **8.7 Licence Suspension / Withdrawal**

In the event of a licence being suspended, QAC shall request an action plan to address the issue(s) raised, and comment on progress made so far, within a specified time period. A further review will then be considered by QAC for a suspension to be withdrawn. QAC will decide a maximum timescale by which this review shall be held (likely to be 6-12 months from the QAC decision to suspend).

QAC may decide to withdraw part, or all of the licence in its entirety, if:

- The Licensee does not cease all activities specified in the suspension
- The action plan is not provided within the timescale specified by QAC
- Non-cooperation by the Licensee resulting in the Review not being scheduled within the timescale set by QAC
- The licence review reporting unsatisfactory progress in resolving the non-conformity.

Every effort will be made to support Licensees that may be experiencing difficulties in maintaining conformity to the requirements of the licence.

## **8.8 Reinstatement of Licenses**

As noted in Section 6.4, outcomes of licence reviews can include instances of QAC agreeing to withdraw or not renew either a full licence or specific licensed activity. In addition, there is also the provision for the Licensee to relinquish its licence. In those circumstances, the licence can be reinstated subject to QAC approval. Such approval will require completion of all actions raised at the previous licence review, to the satisfaction of the Licensee’s Review Panel, in addition to any other requests of the Panel and/or QAC.

It may be that for some instances where the Licensee has opted to relinquish its licence, no related actions were raised from the previous licence review. In those cases, the Review Panel would determine the required documents for review in considering reinstatement.

Upon completion of all actions, a report will be presented to QAC for review. If approved, the licence will then be reinstated and an updated licence and/or display certificate will be issued if required. The licence, or specific activity, will have a new start date from the day QAC approval was granted.

Any raised actions must be completed within a maximum of 12 months following the licence expiry date. In the event actions take longer to complete, the Licensee shall then be subject

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<sup>3</sup> Engineering Council Licence

to the full application process in order to regain the licence. Please note Review Panels / QAC may determine that some actions must be completed within a shorter timeframe.

## 8.9 Appeal

As stated in Regulations, Licensees have the right to appeal against both a proposed resolution and a resolution passed by QAC.

Details regarding the appeals procedure are outlined in Regulation 2C and the supporting annex.

## 9 Annual Risk Assessment Process

### 9.1 Information gathering

Each year, Licensees are required to complete the Annual Licence Report (ALR). The ALR helps identify the actions undertaken across all licensed activities for the previous 12 months, including whether any specific changes have taken place. It is important that the data provided by the Licensee is accurate, as it helps to demonstrate a clear self-assessment process, and it also serves to assist the Engineering Council in conducting risk assessments in a consistent and effective manner.

For the risk assessment, Licensing staff will ensure Review Panels have a copy of:

- the ALR
- Liaison Officer reports from the last 12 months
- any Licence Review reports from approx. the last 12 months
- the status of actions from the most recent licence review
- the previous annual risk assessment
- any key updates from Engineering Council meeting papers relating to the Licensee

### 9.2 Assessment

The Review Panel will then make an assessment on the risk of non-conformity to licensing requirements for each category of assessment.

Examples of possible risks would be changes in staff, procedures, or governance structure. It is important to note that if Engineering Council has not been aware of the details or scope of any change, this may increase the risk rating. This does not necessarily mean the Licensee is non-conformant to Engineering Council requirements, only that the risk of non-conformance is higher when details are not known.

### 9.3 Recommendations

Risk assessments result in a meeting of the Review Panel to agree the recommended risk ratings and areas for Liaison Officer monitoring.

Subject to the severity of the risks identified, outcomes include:

- A Licence Review within the next 12 months
- A Desktop Review within the next 12 months
- Areas for Liaison Officer Monitoring (this option will apply to all Licensees)

#### **9.4 Moderation**

All Annual Risk Assessments shall be considered by QAC, one of the outputs being the development of a 12-month plan of monitoring activity. This also allows the Committee to consider the consistency of the recommendations and make any amendments if required.

The 12-month plan will be reviewed regularly by Review Panels to ensure feasibility and to enable any changes if new risks are identified throughout the 12-month period.

### **10 Liaison Officer Monitoring Process**

As the Annual Risk Assessment identifies risks within the categories of assessment, the Liaison Officer will be asked to monitor certain processes. This could include, but is not limited to:

- Assessment of applications at registration committee meetings
- Professional Review Interviews
- Accreditation visits to Higher Education Institutions (HEIs)
- Examination of professional development schemes
- Assessment of visit reports at accreditation committee meetings
- Assessment of approval reports at committee meetings
- Panels for the assessment for 'individual route' registration applications (Technical report / Experiential learning assessments)

Detailed reporting is a vital aspect of the role. LOs complete a report following attendance at each activity, usually within two weeks. The report greatly assists communication with the Licensees, risk assessments, licence reviews and ensures transparency.

The purpose of the report is to build a link between the Licensee and the Engineering Council. The job of the LO is to report on any risks, developments and instances of good practice so that Engineering Council can then offer support and guidance if necessary.

The report is sent to the Licensing Department staff who will respond to any questions raised and send to the Review Panel and other relevant Engineering Council staff.

The reports do not directly feed into the QAC licence decision process but inform the Annual Risk Assessment and therefore help to dictate what form of monitoring activity should take place.

## **11 Additional Considerations**

### **11.1 Data Sharing**

Licensees should consider whether personal data is necessary in the submission of data to Engineering Council. Redaction or removal of personal data is strongly recommended. Where personal data is sent to the Engineering Council, staff will ensure suitable retention policies are in place.

It is a requirement of the licence to sign a data sharing agreement. For more information contact [dpo@engc.org.uk](mailto:dpo@engc.org.uk)

### **11.2 Agreements that require QAC approval**

Licensees may choose to make agreements with various bodies to promote and enable registration. The following agreements require QAC approval before they can be formally adopted or amended by the Licensee:

### **11.3 Registration Agreements**

The Engineering Council Byelaws and Regulations permit a Professional Affiliate to offer their members a route to registration via a Registration Agreement with a Licensee.

The requirements of the Registration Agreement are included as Annex C.

### **11.4 Mutual Exemption Agreements**

Licensees may apply to Engineering Council with mutual exemption agreements made with an overseas membership/registration organisation approved as giving a route to registration

The requirements of the Mutual Exemption Agreement are included as Annex D.

### **11.5 Multi-Institutional Committees**

Licensees can pool together volunteer resources to set up multi-institutional committees for making decisions relating to specific licensed activities. For example, decisions to accredit academic programmes as evidenced by the Joint Board of Moderators (JBM).

The requirements of the Multi-Institutional Committees are included as Annex E.

### **11.6 Self-assessment**

Licensees shall have a suitable management system in place in order to demonstrate and maintain conformity with Engineering Council requirements. An essential element of the management system is an effective and demonstrable self-assessment process.

## Document History

### Document Location

The authoritative document is held as a .pdf in the xx Library in the xx site on the intranet as a Core Document managed through SharePoint. This document is only valid on the day it is printed.

### Revision History

Revision date	Summary of Changes
January 2023	Inclusion of the Professional Affiliates Approval Manual as an annex.
February 2023	Update for the provision for additional volunteers joining Review Panels in instances where relevant engineering experience is required.
April 2024	Revision to 6.4 Outcomes and inclusion of 8.8 Reinstatement of Licenses

### Approvals

This document requires the following approvals.

Name	Title	Date of Issue	Version
QAC	Approved	July 2022	1.0
QAC	Approved	January 2023	1.1
QAC Chairs Action	Approved	February 2023	1.2
QAC	Approved	April 2024	1.3

### Distribution

This document has been distributed to:

Name	Title	Date of Issue	Version
Partner Portal			

### Review Period:

This document is subject to review annually