



**Engineering Council UK
(EC^{UK})
Licensing Manual**

July 2008

EC^{UK} Licensing Manual

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- 1 UK-SPEC (UK Standard for Professional Engineering Competence)
- 2 UK-SPEC; Regulations for Registration
- 3 Better Regulation Task Force (Ref. Better Regulation Task Force, September 2003
'Imaginative thinking for better regulation')
- 4 ECUK website (www.engc.org.uk)

EC^{UK} Licensing Manual

1 Scope

The standing of the UK engineering profession depends upon even-handed but firm application of a licence review system by EC^{UK}. In developing this Licensing Manual every effort has been made to ensure clarity in the requirements professional bodies should achieve. The intention of the Manual is to encourage accurate and consistent application of procedures developed by professional bodies themselves to suit the needs of their sector.

It is also intended to encourage continuous development of procedures, particularly to recognise change and growth within the profession, and to exploit the flexibility of UK-SPEC (UK Standard for Professional Engineering Competence).

Where Licensed Members or Professional Affiliates fail to maintain the standards required every effort will be made to help them to recover the situation. However, where evidence of continuing failure to comply occurs Licences will be suspended or withdrawn.

Under its Royal Charter EC^{UK} grants licences to professional bodies allowing them to qualify candidates for inclusion on the UK Register of Engineers and Technicians maintained by EC^{UK}. These candidates must satisfy the requirements of the relevant sections of UK-SPEC.

In addition, and again under its Royal Charter, EC^{UK} grants licences to professional bodies allowing them to accredit Academic courses and Professional Development Schemes.

EC^{UK} also approves professional bodies as Professional Affiliates. They do not have powers to register members directly.

This Manual describes the requirements for professional bodies to achieve and maintain status as an EC^{UK} Licensed Member or Professional Affiliate. Licensing and Approval is based on a Peer Review process. The Peers are volunteers from other Licensed Members and this Manual includes instructions and guidance for them.

This Manual is reviewed annually by EC^{UK}. It is available on the EC^{UK} extranet. It is also available on request in hard copy, but in these circumstances it is the responsibility of the owner to ensure it is updated.

Andrew Ramsay
Chief Executive Officer
24/7/08

Isobel Pollock
Chairman QA Committee
24/7/08

2 Introduction

This Manual aims, not only to inform new and existing Institutions of the requirements for licensing and approval, but also to guide, assist and support peer volunteers, EC^{UK} staff and other interested bodies involved in the process.

Institutions will be expected to have a suitable management system in place in order to demonstrate and maintain compliance with EC^{UK} requirements. An essential element of the management system is an effective and demonstrable self assessment process. The level of documentation should be only that necessary to support the effective operation of the business.

The licensing and approval process is carried out through comprehensive Reviews at the initial application and 5 year renewal stage. During the 5 year period regular contact and Interim Reviews ensure EC^{UK} are aware of significant changes, best practice is identified and communicated and any problems that arise can be addressed at an early stage.

The licensing and approval process is carried out, under the guidance of EC^{UK}, by a pool of Volunteer Peers nominated by the Institutions. These volunteers have appropriate expertise and experience and attend regular training and updating sessions run by EC^{UK}.

The Volunteers perform a number of tasks, as members of the QA committee, Licence Review Panels or Working Groups and acting as Liaison Officers involving more regular contact with licensed members.

3 The Licence

The Licence is approved by the QA Committee (QAC) on behalf of the EC^{UK} Board.

The Licence issued to the Institution defines the sections of the Register (Chartered Engineer, Incorporated Engineer, Engineering Technician) in which candidates can obtain Registration (covering Standard and Individual routes) and also, optionally, the sections of the Register where Accreditation (covering Academic Courses and Professional Development Schemes) is permitted. In addition the licence specifies the standard conditions and any special conditions that apply.

To be valid the Licence must be signed on behalf of EC^{UK} and the Institution.

The Licence is normally valid for 5 years although this can be restricted if the full requirements have not been completely satisfied. Under these circumstances the Review Panel would make the judgement that the overall performance of the Institution is satisfactory, the plans to remedy any shortfalls are appropriate and the risks of registering an inappropriate candidate or detrimentally effecting the reputation of registration is acceptable.

The awarding of a licence does not necessarily imply total compliance with the Standard. The Review and subsequent recommendation to licence or approve is based on sampling and some issues may not have come to light. If they subsequently do come to light then EC^{UK} reserve the right to alter the terms of the licence or in extreme cases remove it.

When Licensed Members are involved in mergers each case is assessed individually but normally a one year transitional licence will be granted with the condition that a mandatory Liaison Officer is appointed. Following this period a review is performed normally equivalent to the 5 year licence renewal. Extensions to existing licences (eg adding an EngTech licence) will normally only be for one year initially and also require the appointment of a mandatory Liaison Officer.

4 Purpose – why licence?

A Licence grants formal permission to conduct defined activities. The **Purpose** underlying **ECUK Licensing** is to allow Institutions to qualify candidates for inclusion on the UK Register of Professional Engineers and Technicians through approved processes of registration and accreditation in line with the UK Standard for Professional Engineering Competence (UK-SPEC). EC^{UK}'s authority to run the register is granted through its Royal Charter. ECUK's Visions and Mission are set out on the website.

5 Principles – the general approach

The **Principles** underlying **ECUK licensing** are those set out by the government's Better Regulation Task Force. They are Proportionality, Consistency, Transparency, Targeting and Accountability (Refer - Better Regulation Task Force, September 2003, 'Imaginative thinking for better regulation')

ECUK strives to work closely with the licensed engineering Institutions building confidence in people and processes and progressively moving the focus of assessment from compliance to improvement.

The approach to licensing is as flexible as possible and will be based on an assessment of the risk to Standards and reputation of the Register.

The ECUK approach to reviewing licences will, be **proportional** to the risk; seek **consistency** of output across the Institutions; require **transparency** of activities; enable **targeting** of effort onto key concerns or improvements areas. ECUK is **accountable** to all licensed members for its processes and decisions.

Lower risk Institutions will be those with a clear record of effective self assessment, satisfactory Liaison Officer and other ECUK contact reports, a clear management system, including risk and change control elements, a demonstrable continuous improvement culture and positive trends for key output measures. For such Institutions ECUK intervention for licence review will be minimal during the 5 year period (although contact and visits will continue to discuss and communicate improvement opportunities) and be much reduced at the 5 year licence renewal stage.

Higher risks are associated with new licensed members, new licences for existing licensed members, major changes in processes or a history of concerns or problems. For these Institutions a more detailed examination of processes and relevant supporting evidence will be required. In these cases Interim Reviews are likely to be more frequent and the 5 year Renewal will be a detailed and comprehensive exercise.

Efforts are made to agree dates for Reviews at least three months in advance. At this stage general indications of the objectives and additional information requirements are communicated although these will not be finalised until approximately a month before the Review.

6 Process – how does licensing work?

The **Process** involved in **ECUK Licensing** and Approval (of Professional Affiliates) is summarised in the two Flow Charts attached as Appendices 1 and 2 (1 page each). Also attached as Appendix 3 (4 pages) is the Self Assessment Questionnaire

Overview
Flow Charts and Questionnaire
Risk Assessment
Types of Reviews
Initial Review
5 year Renewal
Interim Reviews
File Reviews

Overview

EC^{UK}'s QA Department staff are responsible for co-ordinating the licensing activities. The particular requirements of the various groups (Institutions, Volunteers and ECUK) involved are set out in Section 7 below.

Flow Charts and Questionnaire

Appendix 1 is a Flow Chart of the stages involved in the 'Initial Review for a licence or approval' of an Institution. Appendix 2 is a Flow Chart of the stages involved in '5 year Renewals' and 'Interim Reviews'.

Appendix 3, the Self Assessment Questionnaire (indicating examples of information which may be included) is used by ECUK to ensure all required aspects are covered and may also be used by the Institutions, see 7.1 below.

It is not comprehensive and if other issues arise they are followed up through the examination of suitable objective evidence. The Questionnaire is constantly under review and is amended to clarify issues or cover particular aspects deemed to be of concern. Amended versions are approved by QAC.

Risk Assessment

The Licensing process is flexible and is based on the perceived risk of failing to comply with UK-SPEC and other licensing requirements. The risk is assessed by peers and is based on visits, evidence and discussions covering a number of factors including: history of organisation in general and licensed activities in particular, other external approvals, quality of contacts, routine volunteer feedback, overall success, and the degree to which the requirements (as set out below in Section 7.1) are met. Risk levels are defined for individual elements or as part of an overall assessment (ref Appendix 3).

- 1 Best Practice: Innovative and demonstrable solutions improving efficiency and effectiveness. Further information available to other Institutions.
- 2 Satisfactory: Evidence demonstrates full compliance with UK-SPEC and licensing requirements.
- 3 Work required: Does not appear to fully meet requirements. More evidence required to clarify situation.
- 4 Unsatisfactory: Does not meet requirements. Licence status will be reconsidered if changes are not made.

Types of Reviews

The different ‘types’ of licence review vary only in the degree to which detailed assessment of processes and key output measures and analysis of evidence is carried out.

It is always planned to conduct as much of the assessment work prior to the visit so the visit itself can focus on building relationships and focusing in on key issues whether problems, best practice or challenges for the future. Issues in fact may not always be fully resolved during the visit but will have to be followed-up at a later date. This does not necessarily mean that a licence cannot be awarded but an appropriate condition may be attached which may involve completion of further actions or additional assistance from volunteers required.

It is essential that Institution members (eg committee chairmen) are present, at least, at any Licence Reviews where licence changes are under consideration.

The requirements for supporting information prior to the Review will be discussed with the Institution. These are likely to be more for new Institutions, less for 5 year renewal and less again for Interim Reviews and generally lower for those perceived as a lower risk. Efforts will always be made to keep these requirements to a minimum.

The Initial Review

These are for Institutions when they first seek Licensed Member or Professional Affiliate status.

This review will always involve a detailed assessment of all processes, evidence and outputs in order to understand fully how the organisation functions.

This will normally involve a series of meetings with the Institution and of the Review Panel as well as the assessment of a comprehensive information package and the completion of the Self Assessment Questionnaire.

A difficulty always exists with new licensed members in awarding a licence before any candidates have been registered. In practice the process normally involves awarding a one year licence conditional on accepting a mandatory Liaison Officer.

Five year licence renewals

A formal Review is conducted every 5 years to reassess the whole licence.

A Pre-meeting of the Review Panel is arranged to examine the files and agree the focus of the visit. An important aspect is to assess future business plans to confirm that they are consistent with the awarding of a 5 year licence.

For lower risk Institutions the licence renewal process may require only an assessment of a small sample of recent registration applications, accreditation visits, committee notes, evidence of a particular process of interest across all Institutions eg CPD and key output measures. The visit aims to focus primarily on future developments.

For higher risk Institutions there is likely to be a comprehensive assessment of all processes and supporting evidence in order to confirm compliance.

Each case is different and discussions will be held between ECUK, the Review Panel Chairman and the Institutions at the time of the review to clarify requirements.

Interim Reviews

These will normally take place during the 5 year licence period to assess progress.

They will take place if new licences are requested or new panel chairman are appointed but normally their frequency is based on risk.

For lower risk Institutions they may only occur once during the 5 year period. Other visits, however, may take place to discuss specific topics and not focus directly on licensing issues. The focus normally will be on improvement opportunities.

For higher risk Institutions there will additionally be a detailed assessment of specific processes and supporting evidence in order to confirm compliance.

A Pre-meeting may take place if the Review Panel Chairman requires one.

File Reviews

These Reviews are conducted annually by staff for all Institutions.

This is the first stage to determining the requirements for further Reviews and visits.

7 Particulars - requirements of Institutions, Volunteers and ECUK

This section sets out the **Particular** requirements of Institutions, Volunteers and ECUK (ie the Stakeholders) for **ECUK Licensing**.

7.1 Institutions

Summary of requirements, Annual activity reports, General guidance on visits

7.2 Volunteers

The role, Licence Review panels, General guidance on visits, QA Committee – Structure, Decisions and Escalation, Communication of outcomes, Appeals, Confidentiality

7.3 ECUK

Administration, Planning, Reporting, Format of reports to QAC, Royal Charter

7.1 Requirements of the Institutions

Summary of requirements

All Licensed Members and Professional Affiliates must be able to demonstrate:

- An established and stable organisation
- Demonstrate vision and 5 year plan
- Shared objectives with EC^{UK} to promote engineering
- Their status as an autonomous UK registered organisation
- Membership comprising of groups of professionals
- Demonstrate primacy of members/registrants in the governance of the organisation
- That they are not a trade association
- A suitable Code of Conduct for members is in place
- A suitable Appeals Procedure for members is in place
-

They must:

- Comply with EC^{UK} Charter, Bye-laws and Regulations
- Comply with the requirements of this Licensing Manual
- Assist volunteers and EC^{UK} staff undertaking Reviews and related activities
- Complete agreed actions in an effective and timely manner
- Inform EC^{UK} promptly of relevant changes to their organisation or objectives

All Licensed Members must additionally:

- Demonstrate understanding of, and compliance with, UK-SPEC
- Provide an Annual Activity Report
(This must include a report on Self Assessment)
- Comply with special licence conditions which may be defined
(eg mandatory inclusion of a Liaison Officer for specified tasks)
- Nominate volunteers to assist the EC^{UK} process
- Comply with the registration and reconciliation administrative requirements in accordance with Charter Article 5(5), available on the website and the 'External Registration Process' which is available on the extranet.
- Consider setting up an EC^{UK} Registrants Group, or equivalent, if the EC^{UK} Registrants are in a minority, in order to ensure their interests are protected
- Pay an initial fee

All Professional Affiliates must additionally:

- Pay an annual fee

Annual Activity Report (AAR)

A standard condition of all licences is that Licensed Members shall submit a report annually covering licence related activities including those outlined below. As far as is possible this should comprise existing documentation and should be brief. EC^{UK} may respond with a request for more information or clarification.

The report forms an important part of the whole licence review process which aims to ensure compliance and improvement against EC^{UK} requirements is being maintained. The completeness of the Report will determine the form of other elements of the review process. A series of satisfactory Annual Activity Reports will normally lead to minimal additional intervention by ECUK during the 5 year licence period.

The most important element of the AAR is the Self Assessment report. Completion of the Self Assessment Questionnaire referred to Section 5 above may in fact replace the AAR

The period covered by the report should be indicated and it should be signed off by a senior member of the Institution staff.

The AAR should typically cover:

Changes, Self Assessment, Risk,
Summary of registration, accreditation, training and professional development activities
Progress on outstanding actions agreed with ECUK
Key output trends, benchmarking activities, future plans

A copy of the Annual Report and audited Accounts should always be included

General guidance on licence review visits for Institutions

The institution should ensure that members and staff involved in licensing understand the EC^{UK} process and requirements. They must ensure the most appropriate members and staff are available during the visit. Appropriate members must always be present if licence renewal is involved. In order to ensure the most efficient use of members and staff time and avoid people having to be present when topics outside their remit are considered conference calls or flexible attendance will be considered.

Information requested by ECUK should be supplied in plenty of time for assessment prior to the visit and include, wherever possible, examples to demonstrate implementation. The Panel always aims to conduct as much assessment before the visit as possible allowing time for constructive discussions on future plans.

Documentation should be minimised at all times and Institutions should only supply that which EC^{UK} has requested.

Divulging problems, concerns and future plans and a willingness to discuss options will generate confidence in the review panel and may avoid future problems.

Lengthy presentations should be avoided during the visit allowing plenty of time for questions, clarification and discussion.

Further Guidance on the conduct of the licence review visit is given below in 7.2.

7.2 Requirements of the ECUK Volunteers

Role of the Volunteers

The whole process of EC^{UK} licensing for registration and accreditation is based on peer review. All Licensed Members must nominate Volunteers to the ECUK pool in order to conduct the licence reviews and support related functions. The activities of the Volunteers, currently around 80 in number, are administered by the Manager - Volunteer Activities who reports to the Director of QA.

Volunteers are generally from the senior ranks of business and academia, consultants with current or past experience of the working of professional bodies or a combination of these backgrounds. They receive training and regular briefings from ECUK.

The Volunteers perform a number of tasks, including serving as members of Licence Review Panels (see further details below), as Liaison Officers and as members of specific working groups. More senior and experienced volunteers serve on the QA Committee (QAC) which awards and monitors licences and deals with related activities (more details below).

The Liaison Officers maintain closer contact with Institutions as observers on committees or at interviews or accreditation visits. This support is optional but the Institutions are strongly encouraged to take advantage of it - and almost all do. They will sometimes be asked by QAC to monitor Institutions activities which have been found to be inadequate during Review. This is usually as a time-limited licence condition.

Fundamental to the Volunteers' role is an ability to develop working relationships with Licensed Members, Professional Affiliates or applicants in order to assist and support in the implementation and maintenance of standards, facilitate improvement and exchange of best practice; and ensure effective communication with other professional bodies as well as EC^{UK}. The Volunteers are reimbursed reasonable travel and subsistence expenses.

Issues discussed by Volunteers with Institutions and EC^{UK} staff are be regarded as confidential except by agreement. The current policy is set out below. The Roles are fully defined together with information on training and updating on EC^{UK}'s Extranet

Licence Reviews Panels

The licence review panel comprises a Chairman (who is always a Volunteer and normally a member of QAC) and a member of staff. An additional Volunteer is included on 5 year renewals or when there is a training requirement. Liaison Officers, who are a vital part of the licence review process, are often but not always part of the panel. The Chairman is responsible for presenting the recommendations of the Licence Review Panel to QAC and answering points of clarification that members may have.

If the Chairman is not a member of QAC then he will have been a past member and have sufficient experience of the review process to perform the task. The Chairman of the QAC specifically approves his appointment and invites him, as a temporary member, to present his report and recommendations to the committee.

The Chairman normally acts for a particular Institution for up to 5 years. The Chairman may on occasion visit the Institution alone without staff support. This is encouraged but the Chairman will be briefed by staff and asked to submit a visit report

General guidance on licence review visits for ECUK Volunteers

The secret of a successful visit is always in the planning and communication between reviewer and reviewed prior to the visit. There should be a focus on a few issues based on risks and history. These will be identified at the planning stage. Objective evidence is often required to confirm implementation and compliance. The visit itself will normally last 3 or 4 hours.

The licensing exercise is about making a judgement based on a sampling activity. The Panel need to have confidence in a sound organisation with committed, suitable people. There is a fundamental need to understand the Institution's business and the wider issues which may impact on the licensing process. The Panel aims to develop a sound working relationship and encourage an atmosphere for constructive exchange. Good practice is identified wherever possible.

The chairman of the Licence Review Panel chairs the meeting. For a 5 year licence renewal the Panel will normally meet in private for ~30 minutes immediately before the Review commences to finalise details. They will also meet for 30 minutes after in order to agree an outline of the recommendations to be made to QAC. These will be communicated to the Institution at a closing meeting. The findings of the Review are regarded as confidential unless specific permission has been given by the Institution to communicate information.

QA Committee (QAC) - Structure

QAC is an executive sub-committee of the ECUK Board. The Terms of Reference are approved by the Board and are available on the extranet. QAC meets four times a year and the QA Department administer its activities.

QAC's prime responsibility is to award appropriate licences, monitor performance and encourage continuous improvement. This is achieved by the members acting as Review Panel Chairmen presenting recommendations to QAC following a Review. The recommendations are discussed by QAC with the main objective being to ensure a consistent approach to licensing and the maintenance of standards.

QAC Decisions and Escalation

Options for licensing and associated conditions are:

Accept recommendations.

Modify recommendations.

Reject recommendations.

Rejection will result in further discussions to agree the advice to be forwarded to the Institution. Further meetings with the Institution will be required to clarify concerns and acceptable actions.

If Institutions fail to comply then an **Escalation** process is initiated. This involves intervention by senior ECUK staff where the implications of continued failure to comply will be communicated. Continual failure to comply with QAC requirements and failure to present an adequate plan of action will lead to a letter from, and possibly meeting with, the QAC Chairman and the Institution President (copied to the CEO of the Institution and the CEO and Chairman of ECUK). Continual failure to comply will result in licences being suspended or removed in line with ECUK's Bye-law 41. The process will be recorded in the QAC minutes.

Communication of outcomes

Licensed Members are informed of Licence changes through a formal letter from the EC^{UK} Chief Executive Officer. This letter includes a copy of the new licence which must be signed by EC^{UK} and the Licensed Member in order to be fully effective. The letter is copied to the Review Panel Members and the Liaison Officers. Display certificates are also supplied.

Appeals

There is a process of appeals against the decisions of QAC. These may involve refusal of an application for a licence from a new professional body, refusal to grant or renew an existing licence. The process also covers granting and renewing approvals for Professional Affiliates. EC^{UK} Bye-law 41 applies and the process is set out in Regulation 9 which is available from the Chief Executive Officer on request.

Individuals may also Appeal to EC^{UK} if, as a result of their membership of a Licensed Member being withdrawn, they are no longer able to maintain their EC^{UK} registration. EC^{UK} Bye-law 50 applies and the process is set out in Regulation 9 which is available on EC^{UK}'s website.

Confidentiality policy

Due diligence in issuing and renewing Institution Licences, and related activities, requires Institutions to release information to EC^{UK}, including details of their internal procedures, policies and financial status. It will often be necessary to view or share data held on individual members and applicants. In many cases this information will be provided to you, as a volunteer, working on behalf of EC^{UK}.

You should ensure that any such information is stored suitably and, when no longer required, either returned to EC^{UK}, or to the Institution concerned, or is destroyed.

Unless clearly in the public domain, information gained about an Institution or individual, in the course of work for EC^{UK}, should always be treated as confidential and not communicated to other Institutions or third parties without the specific agreement of the Institution.

Any queries regarding such information or this policy should be forwarded to EC^{UK}.

(Confidentiality Policy approved by QAC June 2005.

7.3 Requirements of ECUK

Administration

ECUK administers the licensing process through the QA Department (ie the Director QA, who reports to the ECUK Chief Executive Officer, the Licensing Officer, Manager – Volunteer Activities and the Review Administrator) and the QA Committee (made up entirely of volunteers, see Section 7.2 above). The QA Department establishes processes (as set out in this Manual) and monitors implementation to ensure consistency.

Planning

QA maintain a 5 year plan and rolling annual plan to review licences and approvals. QA staff review these plans every two weeks and maintain a database of all licence related information. The plans are approved annually by QAC and progress reported to the quarterly QAC meetings. They will also ensure that follow-up actions are carried out and recorded.

Reporting

Following licence reviews reports are drafted by Staff approved by the Review Panel Chairman before being sent to the Institution to check for factual accuracy. The Chairman then presents the Report to the next QAC. The format of these reports is described below.

In support of the licensing process Volunteers (normally Liaison Officers) and Staff will make additional visits to Institutions as required. Reports are prepared in every case but are not normally submitted to QAC.

Format of Reports to QAC

The general format of the licence review reports to QAC is as follows:
Title; Attendees; Objectives; Actions (licence related, others, recommendations);
Recommendations to QAC (concerning licence and conditions);
Additional notes (supporting the actions and recommendations)
Examples of Best practice;
Summary (indicating risk level and proposed next visit); Circulation.

The Report seeks to link, in a clear and concise manner, past activities, objectives, evidence of progress, actions, recommendations, and follow-up, in order to demonstrate compliance and continuous improvement against EC^{UK} requirements.

The reports are brief, generally fewer than four pages, but QA Department hold supporting information for at least five years.

EC^{UK} Charter, Bye-laws and Regulations

It is a condition of all licences issued by EC^{UK} that the Charter, Bye-laws and Regulations are complied with. These are available at www.engc.org.uk. The requirements are, however, interpreted in this Licensing Manual. Institutions may wish to refer to the key parts of these documents which are identified below.

The Charter comprises 13 articles and 2 Schedules; there are 52 Bye-laws and 9 Regulations. Article 5 of the Charter defines the principle aims of licensing and registration. Schedule B of the Charter refers to the Bye-laws (BL). BL 35-41 refer to 'Licensing of Members', and 44-51 refer to 'The Register'.

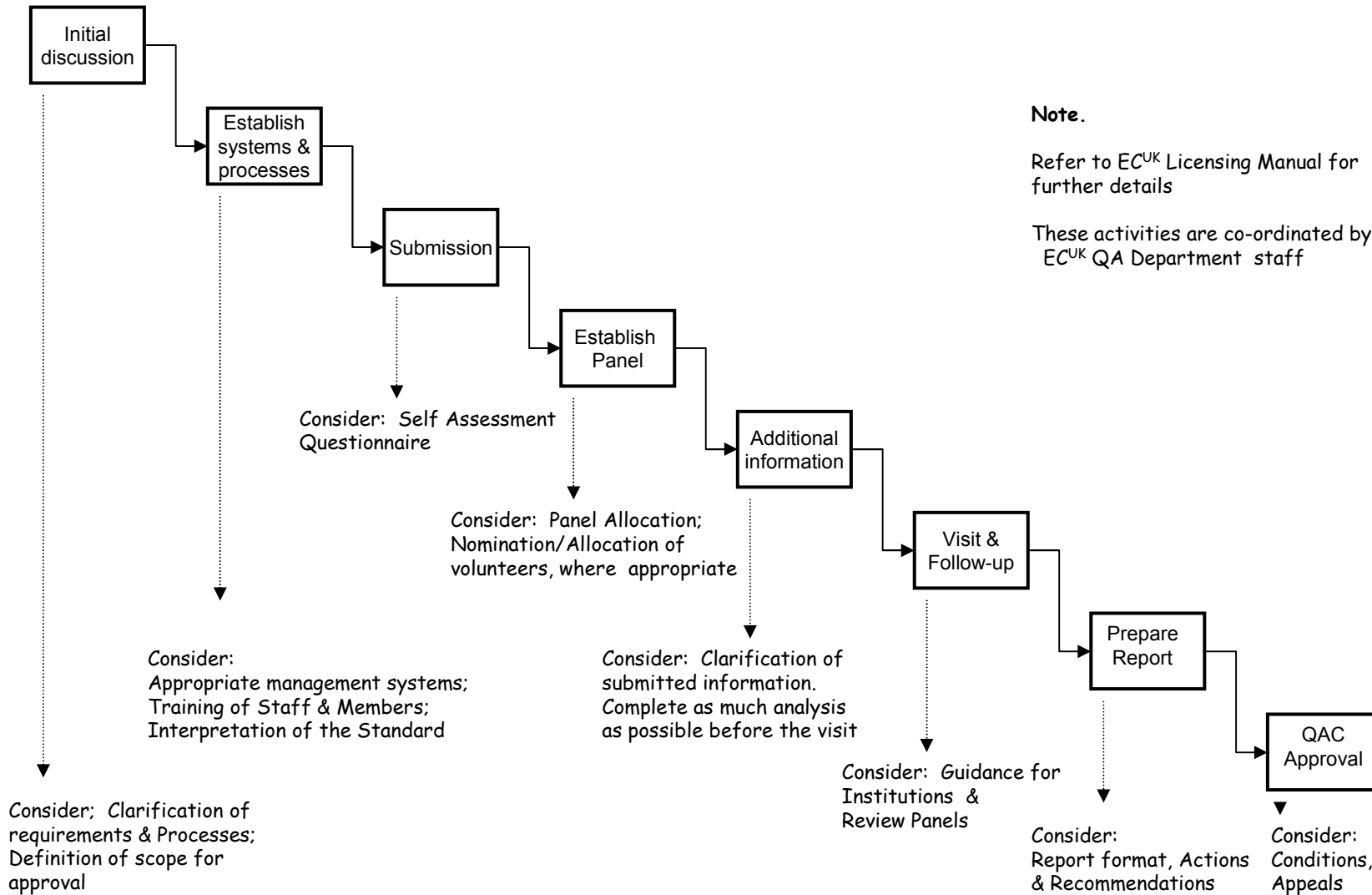
An important area concerns the payment of fees by registrants. BL 42-43 and Regulation 4 define the process for the payment of fees by Licensed Members to the ETB (Engineering and Technology Board).

END

Initial Approval: of Licensed Members and Professional Affiliates

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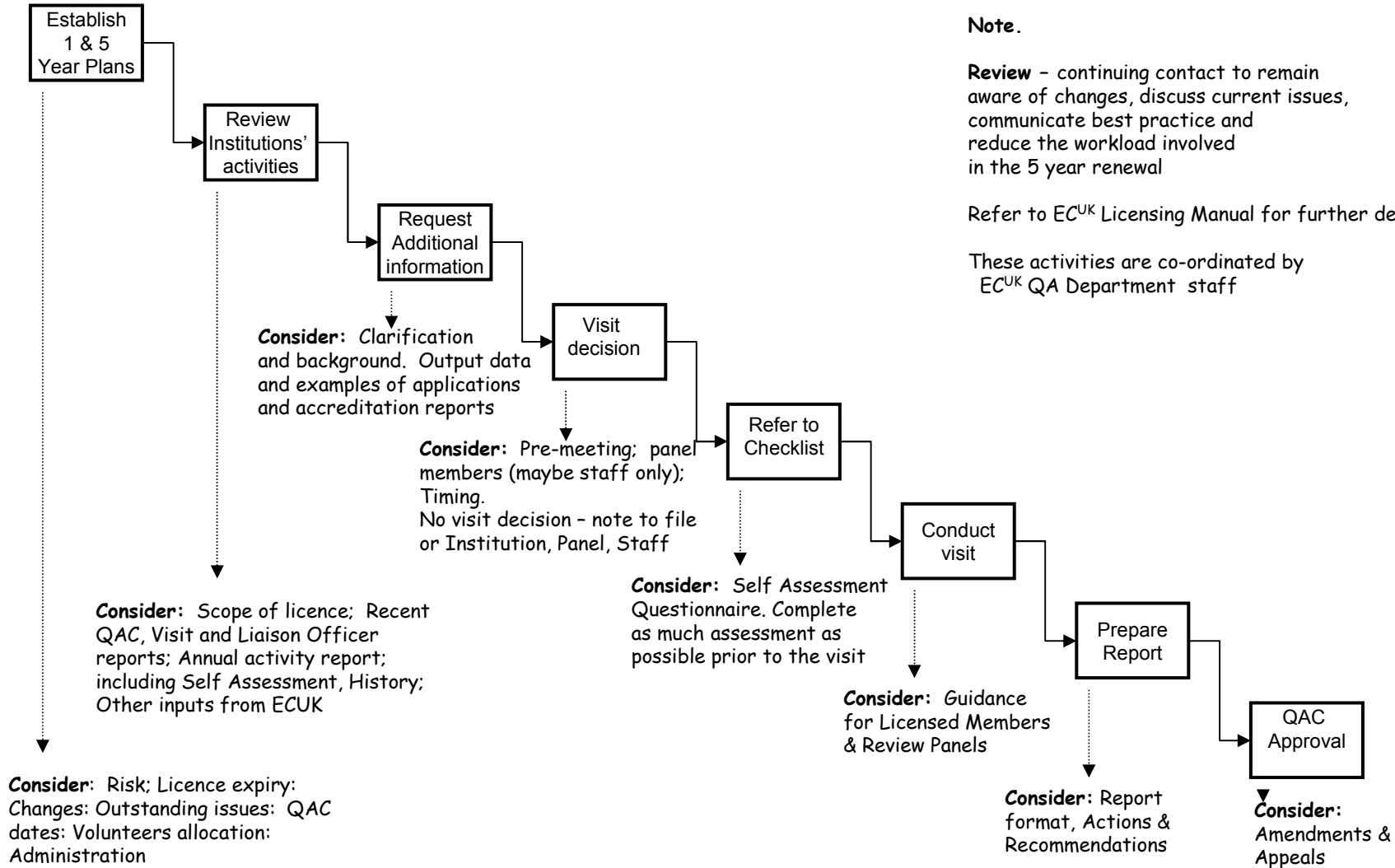
LicMan3 May 2008 (Draft) (Appendix 1: 1 page)



Review: 5 year renewal and Interim Reviews of Licensed Members and Professional Affiliates

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LicMan3 May 2008 (Draft) (Appendix 2 : 1 page)



Note.

Review - continuing contact to remain aware of changes, discuss current issues, communicate best practice and reduce the workload involved in the 5 year renewal

Refer to EC^{UK} Licensing Manual for further details

These activities are co-ordinated by EC^{UK} QA Department staff



Self Assessment Questionnaire (July 2008)

Attached is a four page Self Assessment Questionnaire. An additional copy is also attached partially completed with exemplar information for guidance.

Institutions are requested to complete the Questionnaire, or update it, in preparation for ECUK licence reviews. The aim is to demonstrate an effective Self Assessment process which will then influence the level of future ECUK reviews; satisfactory completion resulting a significant reduction in licence review activities. The Questionnaire is not comprehensive but its completion should aim to present information clearly demonstrating an effective and ongoing Self Assessment process. Reference can be made to existing processes and information to avoid repetition.

A further aim of the Questionnaire is to assist ECUK Licence Panel Members to conduct Licence Reviews, and for Liaison Officers to support the process, in a consistent and effective manner and to present supportable recommendations to QAC. The Questionnaire will be updated by QAC in the light of experience.

Assessment Outcomes

- | | | |
|---|----------------|--|
| 1 | Best Practice | Innovative and demonstrable solutions improving efficiency and effectiveness.
Further information available to other Institutions |
| 2 | Satisfactory | Evidence demonstrates full compliance with UK-SPEC and licensing requirements |
| 3 | Work required | Does not appear to fully meet requirements. More evidence required to clarify situation |
| 4 | Unsatisfactory | Does not meet requirements. Licence status will be reconsidered if changes not made |

References

UK-SPEC
Regulations for Registration (RfR)
ECUK Licensing Manual
These can be found on the ECUK extranet together with additional guidance information

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Director of QA
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July 2008

Self Assessment Questionnaire (July 2008)						
Note: The aim of the Questionnaire is to assist Institutions prepare for ECUK Licence Reviews by demonstrating a clear Self Assessment process						
A further aim is to assist ECUK Licence Panel Members to conduct Licence Reviews in a consistent and effective manner and present supportable recommendations to QAC.						
Refer; UK-SPEC; Regulations for Registration (RfR); ECUK Licensing Manual; associated ECUK guidance. (RfR)						
Assessment Outcomes: 1 - Best practice ; 2 - Satisfactory; 3 - Work required; 4 - Unsatisfactory						
Ref	Section	Subject	Assessment	Comment	Evidence	
1	Type of organisation	Is it an autonomous organisation registered in the UK				
2		Does it have objectives shared with ECUK to promote engineering				
3		Do members comprise groups of professionals				
4		Confirm the organisation is not a trade association				
5		Has an initial fee been paid by Licensed Members (from 01/01/05)				
6		Has an Annual fee been paid by Professional Affiliates				
7	Licensed Members	What is the scope of the present ECUK Licence				
8		Are there plans to amend the licence				
9		Are there any outstanding actions agreed with ECUK				
10		Are any Special licence conditions being complied with				
11		Are Liaison Officers and other voluteers given suitable access				
12	Governance	Are Charter, Bye-laws or Memorandum & Articles of Association, and Regulations available				
13		When were they last amended				
14		Are ECUK informed when changes are drafted				
15		Are the last 3 years annual report and audited accounts available				
16		Is the organisation a registered charity (When was the last audit)				
17		Are vision, mission, values (etc) statements available				
18		How often are they communicated and reviewed				
19		Are plans and obectives documented and communicated (details my be confidential)				
20		Is there a Risk Register (what is the scope and review process)				
21		What external approvals exist				
22	Structures	What is the staff structure of the organisation				
23		What has been the staff turnover over the last 5 years				
24		What is the committee structure (Particular reference to membership, registration & accreditation)				
25		Do the committees have Terms of Reference				
26		Do they cover scope, membership, selection, quorum, responsibilities, authority, succession, reporting				
27		When were they last reviewed				
28		Is there a list of current members (Does it indicate qualifications, experience, training record)				
29		Are meeting papers/notes/minutes available				

30		What is the Membership structure (with entry requirements)			
31	Development/Training	Is there a development/training policy and plan for staff (Does it cover induction, monitoring and recording)			
32		Is there a training policy and plan for Volunteer Members			
33		Is there a register of Volunteer Members (Does it indicate qualifications, experience and training record)			
34		Is suitable guidance available for Volunteer Members on UK-SPEC			
35		(Does it include committee members, assessors, interviewers, mentors, proposers, seconders, referees)			
36		How is Volunteer Member performance monitored			
37	Member Conduct	Is there a Code of conduct for members			
38		Are there suitable complaints, disciplinary and appeals processes in place			
39		Are records available to demonstrate trends			
40		Is the appeal process to ECUK clear			
41	UK-SPEC (RfR*)	Do the Registration and Accreditation processes comply with UK-SPEC (RfR*)			
42		Are the processes demonstrably lead by Volunteer Peer Members			
43	Registration	Is an analysis of Registrants available (totals, overseas, new each year, routes for each of the three awards)			
44		Are these regularly reconciled with ECUK figures			
45		Are applications received in line with para. 12*			
46	PRI (CEng/IEng)	Are the interviews conducted in line with para. 13*			
47		Are competencies confirmed in line with para. 15*			
48		Are registration recommendations confirmed by an appropriate committee (para. 16*)			
49		How often are remote PRIs conducted (What are the controls)			
50		How is moderation of interviews conducted (staff, independent observers, committees, training sessions etc)			
51		Are interview defement/failure rates monitored			
52	Individual Route (CEng/IEng)	Are applications assessed in line with para. 36*			
53		Are responsibilities for assessment in line with para.37*			
54		Are candidates given guidance on the Options available to enhance further learning to the appropriate level			
55		How and when are Mentors assigned and trained			
56		Is the Technical Report Option carried out in line with para.38/39*			
57		Are Technical Report synopses prepared and approved			
58		Are Technical Report interviews carried out in line with para.40*			
59		How is the interview linked with the PRI			
60		How is moderation of interviews conducted (staff, independent observers, committees, training etc)			
61	EngTech	Are there separate processes and structure for EngTech applications			
62		How are assessors identified and trained			

63		Are qualifications courses and programmes assessed in line with para. 30-35*			
64		Are qualifications, courses and programmes mapped against UK-SPEC			
65		Are ECUK informed of newly approved / accredited qualifications, courses and programmes			
66		What proportion of EngTech candidates are interviewed			
67		Are competencies confirmed and documented (broadly in line with para. 15*)			
68		How is moderation of interviews conducted (staff, independent observers, committees, training sessions etc)			
69	International	How are EU applications handled			
70		How are international applications, covered by an Accord, handled			
71		How are other international applicants handled			
72		Are there any Mutual Recognition Agreements (MRA) in place			
73	Accreditation	Is an analysis of Academic Course Accreditation available			
	Academic courses	(including institutions, courses, new each year, renewals, removals, overseas, - for each of the 3 awards)			
74		Are ECUK informed of changes in order to update the ACAD			
75		How many accreditation visits are conducted jointly			
76		How are assessors identified, trained and updated			
77		Is suitable guidance available for universities, assessors and committees			
78		Are courses assessed in line with para. 25*			
79		Is the process demonstrably based on assessing 'learning outcomes'			
80		Are universities' self assessment process and other external reviews (eg QAA) considered			
81		Are decisions taken in line with para. 22* by an appropriate committee			
82		Are reports processed in a timely manner and actions followed-up			
83		How is moderation of the process conducted (staff, committee, independent observers, training etc)			
84		Are there any courses 'approved' in line with para. 30-35*			
85		Are there any 'national qualifications' (NVQs etc) approved in line with para. 34-35*			
86	Accreditation	Is an analysis of Professional Development Scheme Accreditation available			
8	Professional Development	(Including companies, new each year, renewals, removals, overseas, - for each of the three awards)			
87		How many accreditation visits are conducted jointly			
88		How many assessors identified, trained and updated			
89		Is the process integrated with Academic Course Accreditation process			
90		Is it suitable guidance available for companies, assessors and committees			
91		Are schemes assessed in line with para. 46*			
92		Are companies' existing internal processes considered			
93		Are decisions taken in line with para. 47* by an appropriate committee			
94		Are reports processed in a timely manner and actions followed-up			
95		How is moderation of the process conducted (through staff, committee, independent observers, training sessions etc)			

96	CPD	Is there a CPD policy and guidelines in line with para.50*			
97		How is its effectiveness monitored			
98		Are suitable learned society, and general support activities in place for all categories of registration			
99	Links	What formal/informal links exist to other bodies			
100		Are there any joint membership schemes in place			
101		Is any other Inter-Institutions or Benchmarking activity carried out			
102	Changes	What changes have occurred in the last year			
103		What changes are planned in the next 5 years			
104	Service Levels	Are applications turnaround times monitored			
105		Are Surveys conducted of staff, volunteers, candidates, registrants, accredited bodies, other stakeholders			
106	Additional items	CD available containing details of the management system			
		Flow charts used extensively			
		Specially Authorised Route licence - dormant			
		Engineering division not required			
		MSc accreditation policy unclear			
		Accreditation- compensation policy unclear			
	Completed by:	(Position/printed name/signature)			
	Date:				