

## **Sanctions and associated procedures applying to IOM3 Registrants failing to submit appropriate records of Continuing Professional Development (CPD)**

With effect from 1 January 2020 the following policy will apply to all members holding professional registration with the Engineering Council (EngC), Science Council (SciC) and/or the Society for the Environment (SocEnv).

### **Registrant requirements and associated procedures**

- 1.** All IOM3 registrants of the EngC, SciC and SocEnv are required to submit an appropriate record of CPD activity covering a defined period upon request from the Institute. Compliance is defined as submitting an 'appropriate CPD record' which has been subject to a peer review process and signed-off as meeting the requirements of the respective regulator as defined in their regulations or Practice Directions. Non-compliance is defined as the failure to submit an appropriate CPD record, or one which has been deemed by peer review not to meet the requirements of the respective regulator as defined in their regulations or Practice Directions. This also covers the submission of an amended CPD record previously assessed by peer review as not meeting the respective regulator's requirements, notwithstanding an appeal on a peer review decision.
- 2.** The detail in an 'appropriate CPD record' must include a list of the individual activities that have been undertaken and a reflection on what has been learnt by undertaking these activities, specifically how it has helped the individual to keep up to date with the latest knowledge, practices, developments and thinking in their areas of occupational and professional practice. The reflection part of the record can either be a summary paragraph or individual statements which relate to each activity completed. Appropriate records should cover a 12-month period commencing on 1 January and ending on 31 December and involve at least 35 hours of CPD activities.
- 3.** IOM3 also reserves the right to request the submission of an appropriate CPD record from any registrant acting in a licenced activity volunteer capacity for it, but who hold their registration(s) with another professional body. This procedure equally applies to these registrants, although the sanctions and process that may be applied will be different.
- 4.** IOM3 administrative procedures concerned with the sampling and assessment of CPD records are given in the Professional Assessment Manual under section 4, in addition to exemptions.
- 5.** Exemptions of up to 12 months may be sought where a member:
  - is in a period of illness or suffering with a medical condition which has rendered them temporarily unfit for work.
  - is in a period of parental leave.
  - is in a period of unemployment, or
  - is engaged on military service in a war zone or on UN peace keeping duties.

Members who are retired and no longer involved in professional activity are automatically exempt from submitting their CPD record for the purposes of ongoing EngC registration. This does not extend to either ongoing SciC or SocEnv registration.

Exemptions will be considered and where necessary granted by the Chair, Membership Committee (MC), with a full report on the decisions taken being made available to the MC at their next meeting and recorded in the minutes.

A maximum of three (3) exemptions only may be granted to any member during the period of their total membership with the exception of parental leave which can exceed this total. Exemptions will be carried over different periods of membership.

6. If selected up to three (3) requests will be made to the registrant concerned to submit an appropriate CPD record – one (1) by email and the next two (2) by hardcopy letter with each request being made no less than three (3) weeks and no more than four (4) weeks apart. The second letter will be sent by registered post. Registrants who fail to submit the necessary record within two (2) weeks from the date of the second hardcopy letter will be regarded as 'non-compliant' and will be brought to the attention of the MC.

If a registrant makes a request to transfer their registration to another professional body when they have been requested to submit an appropriate CPD record and it remains outstanding at the time of the request, the receiving professional body will be informed they are 'CPD record non-compliant'.

## **Procedure and sanctions**

### **Membership Committee**

7. MC will consider the case of each non-compliant registrant and be able to take one (1) of the following courses of action:
  - Request that the Membership Manager investigates the matter and identifies the reason(s) for non-compliance, through a fourth and final communication with the member concerned. The registrant will have 10 working days from the mailing of this letter to make a response. The case will then be reconsidered by the MC.
  - Place the registrant on special measures. This will require the registrant to submit an appropriate CPD record by a specified date. Support will be offered the registrant in the form of mentoring from a volunteer or the Membership team. Failure to submit an appropriate CPD record will lead to an automatic recommendation to the Professional Standards and Development Board (PSDB) to remove the respective registration.
  - Recommend to the PSDB that the registrant has their respective registration removed.

In the case of a registrant who has in the past has been granted three (3) exemptions with the exception of parental leave, or where they have indicated in writing that they have no intention of submitting an appropriate CPD record, the recommendation to remove the respective registration will be automatic.

8. All recommendations will be reported to the PSDB for endorsement.

9. In the case of a licenced activity volunteer who is a registrant with another professional body and who refuses to submit an appropriate CPD record, MC will be able to suspend their Licenced Activity Volunteer Certification (LAVC), until as such time as they submit the required record; an individual who is suspended twice under these circumstances, may be subject to permanent loss of LAVC. Any decision to suspend or remove LAVC can be made by the MC acting alone and without further approval. Such cases will not be escalated to the PSDB or the Executive Board (EB).
10. All decisions will be recorded in the respective meeting minutes.

### **Professional Standards and Development Board**

11. The PSDB will review each IOM3 registrant case and be able to take one (1) of the following courses of action:
  - Endorse the MC recommendation.
  - Request that the MC reconsider their recommendation. When this course of action is taken, the PSDB will need to submit their reasons in writing. This will also cover cases where a deviation from the procedure has been identified.
12. The PSDB will only be able to request that MC reconsiders its decision on any specific registrant once, or where a deviation from procedure is identified.
13. If the MC reconsider the case of any registrant and agree the same recommendation which the PSDB have previously not endorsed, the PSDB are required to endorse this decision when it is forwarded to them again, unless a deviation from procedure is identified.
14. Where the decision to remove registration from any member is taken by the MC and endorsed by the PSDB, it is then passed to EB for confirmation. When this happens, the registrant will be informed of this action by letter within five (5) working days of the meeting having taken place.
15. All decisions will be recorded in the respective meeting minutes.

### **Executive Board**

16. Executive Board (EB) will be forwarded a list and details in the form of process audit trails of 'CPD record non-compliant' members who have been recommended for removal of registration by the MC and endorsed by the PSDB. EB will be asked to confirm the individual decisions. EB will be able to take one (1) of the following courses of action:

- Confirm the decision to remove registration from the member concerned.

If registration is removed, the member will be able to have it reinstated within a period of three (3) years upon submission of an appropriate CPD record. After the three-year period, reinstatement to the register will require a full application to be made.

- Request that that MC reconsiders its decision on any registrant, giving the reasons in writing.

17. If the MC and PSDB reconsider the case of any registrant and agree the same decision which EB has previously not confirmed, EB is required to confirm this decision when the case is presented to them again.
18. Members will be informed of the EB decision on their particular case within five (5) working days of the meeting having taken place.
19. All decisions will be recorded in the respective meeting minutes.

## Appeals

20. When EB has confirmed removal of registration from a member, the member can appeal the decision. They will have 10 working days from the date of the letter confirming the EB decision to submit an appeal.
21. The Appeal will be heard by a Panel of three (3) appropriately qualified registrants organised and supported by the Director of Membership and Professional Standards. The Panel members will not have had any previous involvement with the case. The Panel will be able to take one (1) of the following courses of action:
  - Uphold the EB decision.
  - Request the member submit an appropriate CPD record within 10 working days. The appropriateness of any CPD record submitted will be determined by peer review. If an appropriate CPD record is submitted, the Panel will consider overturning the EB decision. The grounds under which the Panel may decide not to overturn the EB decision will be where a member has previously been 'CPD record non-compliant'. Failure to submit an appropriate CPD record will result in the EB decision being upheld.
  - Request that the Chair, MC considers granting an exemption for a reason other than that detailed under section 5. The Panel will need to give their reasons in writing. This course of action may only be taken if the member has been given less than three (3) exemptions in the past, with the exception of those granted for parental leave. If the Chair, MC chooses not to grant an exemption, the decision of the EB will be upheld.
22. Members will be informed of the outcome of their appeal within five (5) working days of the Panel having reached its decision.
23. The decision taken by the Panel on any case will be final and any particular case may only be appealed once.
24. When MC has suspended or removed LAVC from a registrant, the registrant can appeal the decision. The registrant will have 10 working days from the date of the letter confirming the MC decision to submit an appeal.
25. The Appeal will be heard by the Chair, PSDB or a nominated deputy who is appropriately qualified. They will be able to take one of the following courses of action:
  - Uphold the MC decision.
  - Request the member submit an appropriate CPD record within 10 working days. The appropriateness of any CPD record submitted will be determined by peer review. If an

appropriate CPD record is submitted, the Chair, PSDB or their deputy will consider overturning the MC decision. The grounds under which the Chair, PSDB or their deputy may decide not to overturn the MC decision will be where a member has previously been 'CPD record non-compliant'. Failure to submit an appropriate CPD record will result in the MC decision being upheld.

- Request that the Chair, MC considers granting an exemption for a reason other than that detailed under section 5. The Chair, PSDB or their deputy will need to give their reasons in writing. This course of action may only be taken if the registrant has been given less than three (3) exemptions in the past with the exception of those granted for parental leave. If the Chair, MC chooses not to grant an exemption, the decision of the MC will be upheld.

**26.** Registrants will be informed of the outcome of their appeal within five (5) working days of the Chair, PSDB or their deputy having reached a decision.

**27.** The decision taken by the Chair, PSDB or their deputy on any case will be final and any particular case may only be appealed once.

**28.** Removal of registration or LVAC from any member will be publicised in all IOM3 media including *Materials World* and *Clay Technology*.

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