



Science  
Council

# Science Council

## Annual Monitoring of Continuing Professional Development for Science Council Registrants

Approved December RA 2022

# Annual Monitoring of CPD for Science Council Registrants

This document has been produced to set out Licensed Bodies' responsibilities in carrying out an annual renewal process for Registrants where continuing professional development (CPD) is monitored and audited in line with Science Council Regulations, which apply to each of the four Science Council registers (Chartered Scientist (CSci), Chartered Science Teacher (CSciTeach), Registered Scientist (RSci) and Registered Science Technician (RSciTech)).

## Monitoring compliance

1. Licensed Bodies shall ensure that all Registrants who wish to renew their registration confirm annually to their Licensed Body that they:
  - i. Are professionally active as a scientist (i.e. continuing to practice such that scientific knowledge or practice at an appropriate level form the basis for the fulfilment of their role).
  - ii. Comply with the Science Council's CPD standards.
2. Registrants may, at the discretion of the Licensed Body, be given up to three months to confirm that they satisfy the criteria in paragraph 1.
3. A Registrant may choose to declare that they are no longer professionally active and can resign their professional registration. If within 3 years of their resignation date a Registrant again fulfils the criteria in paragraph 1, they have the option to reinstate their professional registration and their CPD will be audited at least 12 months after their reinstatement date.
4. If a Registrant fails to confirm that they satisfy the criteria in paragraph 1 in the timescale set by the Licensed Body they will lose their registered status with the exception of the categories in paragraphs 5 and 6 below.
5. Registrants who are on a designated career break are not required to participate in the CPD monitoring process for up to three years whilst on the career break.
6. Registrants facing extenuating circumstances may, at the discretion of the Licensed Body, defer participation in the CPD monitoring until the following year. If the following year the extenuating circumstances remain and the registrant is still unable to participate in CPD monitoring, the Registrant must be put on a career break with the start date of this being when they first deferred. Thus once the Registrant has been on a career break for a maximum of 3 years, they must be reinstated and participate in the CPD monitoring process at least 12 months after reinstatement or resign their registered status.

## Carrying Out the CPD Audit

### Overview

7. Licensed Bodies shall carry out annually a 2-stage process seeking at least a declaration from all Registrants (see paragraph 1) and then selecting a sample of registrants for audit<sup>1</sup> to determine whether they comply with the Science Council's CPD standards<sup>1</sup>.
8. Licensed Bodies may determine the acceptable format(s) for Registrants to submit evidence of CPD; however, the Science Council's CPD recording template is provided as an exemplar in [Appendix 2](#). Whatever format is selected, it must provide the necessary information to enable the assessment of compliance with the Science Council's CPD standards (See also *Guidance on best practice in monitoring compliance* section below). The CPD record submitted for a given year's audit must cover a retrospective 12 month period.
9. Licensed Bodies shall ensure that the entire audit process (see [Appendix 1](#)), from notifying Registrants of their inclusion in the audit sample, to completing and communicating final outcomes of resubmission assessments, takes no more than six months. The time period from notification to Registrants of their inclusion in the audit sample, to the deadline for submission of the information for audit, should be no more than three months.
10. The Science Council provides the below as an example audit process timeline which fulfils paragraph 9.

6 months	8 weeks	Registrants are notified that they are selected for audit.
		Deadline for submissions
	1 week	Time allowance for late submission and administration involved with coordinating assessments.
	4 weeks	Assessors assess submissions
	3 weeks	Time allowance for late assessments, assessor discussions, third assessments and preparation for notifying registrants of audit outcomes and resubmission requirements.
	4 weeks	Registrants prepare resubmissions.
		Deadline for resubmissions.
	1 week	Time allowance for late submission and administration involved with coordinating assessments.
	4 weeks	Assessors assess resubmissions.
	1 week	Time allowance for late assessments, assessor discussions, third assessments, and preparation for notifying registrants of resubmission outcomes.
		Final outcomes from resubmissions communicated.

11. Licensed Bodies with less than 100 Registrants in total are strongly advised to participate in the Science Council's Joint Monitoring Process.
12. Licensed Bodies that have significant concerns about the standard of CPD recording (and hence compliance with the Science Council's CPD standards) following the sample audit should consider taking a second sample. Where the second sample reinforces concerns, the Licensed Body should consult with the Science Council to determine an appropriate course of action. Following this consultation, the Licensed Body should take immediate steps to ensure that standards are raised and should increase the sample size the following year.

#### Sampling

13. Licensed Bodies shall audit at least 2.5% of their eligible registrants or 20, whichever is the larger; or all of their eligible registrants, where this number is less than 20<sup>1</sup>. This will be the audit sample.
14. Licensed Bodies should select the audit sample using a random process; however paragraph 17 indicates categories of Registrants that should certainly be included in the audit sample.
15. If a Licensed Body has Registrants on more than one of the Science Council's registers, the audit sample can be pooled across registers and the composition of the audit sample stratified to ensure the numbers audited from each register should reflect the proportion of Registrants on each register.
16. The following Registrant categories should not be audited in a given year:
  - Registrants who have received their award in the past year; and

<sup>1</sup> See glossary

<sup>2</sup> The required audit size is reviewed periodically by the Science Council and adjusted as necessary in consultation with Licensed Bodies.

- Registrants who were audited the previous year and complied fully.

17. The following Registrant categories should be specifically audited in a given year and should be included as additions to the audit sample selected:

- Registrants who elected to defer their revalidation due to extenuating circumstances in the previous year;
- Registrants returning from a career break who have also had at least 12 months to complete CPD;
- Registrants who have been reinstated on the register, have had at least 12 months since their reinstatement date to undertake CPD and have not already been audited since their reinstatement date; and
- Registrants who were audited the previous year and for whom the assessors determined that re-auditing the following year was appropriate.

18. In order to ensure that their sample is a valid size (detailed in paragraph 13) Licensed Bodies should replace Registrants in their audit sample if, in response to being notified that they are selected for audit, Registrants: defer their audit (as described in paragraph 6), choose to resign their professional registration, declare that they are not doing CPD, or are unresponsive.

19. To prevent delays in the audit timeline the Science Council recommends that, when notifying Registrants that they have been selected for audit, Licensed Bodies request for Registrants to initially confirm that they have received and are aware of this notification.

#### Assessment

20. Licensed Bodies shall appoint and train assessors to carry out the CPD audit and each CPD return shall be assessed by two assessors. Ideally both assessors should be the same level of professional registration or above and be on the Science Council register. Where this is not possible, at least one of the two assessors that assess CPD submissions should be the same level of professional registration or above and be on the Science Council register. The second assessor does not need to be Chartered or hold an equivalent level of professional registration but does need to have been trained against the Science Council CPD requirements and guidelines. Assessors must review the CPD return independently, complete an individual assessment and reach a decision before discussing with the other assessor. Where there is disagreement between the assessors, a third assessor should be used.

21. Assessment shall be carried out in line with the Science Council's CPD assessor training module<sup>3</sup>. There is also a CPD Assessment template available in [Appendix 3](#). Registrants who are deemed to have complied with each standard shall have their registration renewed.

22. Registrants found not to comply fully with the standards should be given the option to make a resubmission and/or address the assessors' comments, at which point their registered status will be removed if they are unable to comply. However, if a Registrant makes a good attempt to comply, but there are still some reservations, the Registrant may be allowed to continue on the register but will be audited again the following year. If the Registrant fails to fully meet the requirements in the second year they must be removed from the register without the option to resubmit. It is recommended that Licensed Bodies' communicate clearly to Registrants that they will be audited a second year because they did not fully meet the standard and provide support to help the registrant understand what is required of them.

23. Licensed Bodies shall provide specific feedback to each audited registrant with general feedback to all Registrants based on the overall findings of the two-stage CPD monitoring process (i.e. the initial submission/declaration and the audit process).

#### **Reporting on the outcome of the CPD monitoring process**

24. Licensed Bodies shall report annually on the outcome of the audit to the Science Council either via the licence review or through the annual report.

#### **Removing Registrants from the Register**

25. Registrants who fail to confirm to their Licensed Body in the annual renewal process that they are professionally active and comply with the Science Council's CPD standards (with the exception of those

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<sup>3</sup>This is available from the Science Council upon request.

who resign their professional registration as described in paragraph 3), and Registrants selected for audit who fail to meet the standards within the timeframe set by their Licensed Body for compliance, shall lose the right to use their Science Council designation (i.e. CSci, CSciTeach, RSci or RSciTech) and shall be removed from the register with the status 'Failed CPD Audit'.

26. Licensed Bodies shall have in place appropriate appeals procedures, and shall inform registrants of their right of appeal against decisions to remove them from the register and the grounds for appeal.
27. Licensed Bodies shall inform the Science Council of the names of the Registrants to be removed from the registers with the status 'Failed CPD Audit' at the next data transfer to the Science Council.
28. Registrants who have been removed from the register with the status 'Failed CPD Audit' must reapply to become active on the register again and to regain the right to use the designation of the register (i.e. CSci, CSciTeach, RSci or RSciTech). The time length that a Registrant must wait until they reapply is at the discretion of the Licensed Body.

### **Guidance on best practice in monitoring compliance**

29. Licensed Bodies should consider including in the annual declaration (see paragraph 1) confirmation of adherence to the Licensed Body's Code of Conduct. This is in line with the 'Science Council's Model Rules of Conduct'<sup>3</sup> which advocates that Registrants are encouraged to reflect on their own professional conduct and engagement with the code.
30. Where possible, Licensed Bodies should take steps to increase the assurance they have that Registrants are complying with the standards and carrying out high quality CPD; for example, by highlighting examples of good practice and providing guidance/mentoring support on CPD, the recording of CPD and the audit process.
31. Licensed Bodies are encouraged, where feasible, to set up and promote online systems for recording CPD so that CPD activity can be monitored at any time.
32. Licensed Bodies can map CPD schemes that are widely used by their members (for example those of employers or other professional bodies or regulators) to the Science Council's CPD standards, highlighting where the scheme may not meet the standards explicitly. Where such schemes exist, Licensed Bodies should give guidance to Registrants to enable them to minimise the duplication of effort in satisfying both the Science Council CPD standards and also the requirements of the other schemes.
33. External CPD schemes common to members of several Licensed Bodies can be submitted to the Registration Authority to be mapped against the Science Council's CPD standards. A record of the mapped schemes will be held in a place accessible to the Licensed Bodies.

# Glossary of Terms

## **Audit**

The audit is the process by which compliance with the Science Council's CPD standards is assessed. A sample of Registrants is selected for audit. The audit is carried out by a panel of suitably trained and qualified assessors.

## **CPD standards**

The full CPD standards set out the requirements that Registrants must meet to maintain their award annually. The standards have been designed to reflect the breadth of disciplines and sectors in which Registrants practice.

Registrants must:

1. Maintain a continuous, up-to-date, accurate and reflective record of their CPD activities and be able to provide supporting evidence if requested.
2. Demonstrate that their CPD activities are a mixture of learning activities relevant to current or future practice.
3. Seek to ensure that their CPD has benefited the quality of their practice and reflect upon this.
4. Seek to ensure that their CPD has benefited the users of their work (employee, customer, student etc.) and reflect upon this.

With regards to the 2<sup>nd</sup> standard, Registrants are expected in a 12-month period to undertake activities in at least three (exceptionally two) of the following 5 categories; work-based learning, professional activity, formal/educational, self-directed learning and other.

## **Eligible Registrants**

Eligible Registrants are those who make the declaration described in paragraph 1 and are not included in the categories of Registrants in paragraphs 3, 5, 6, 16 and 17. Such Registrants are eligible to be included in the audit sample.

## **Extenuating circumstances**

Extenuating circumstances include long term illness or other substantial disruption of personal or professional life.

## **Joint Monitoring Process**

The Joint Monitoring Process (JMP) is coordinated by the Science Council and provides a standardised process for carrying out auditing of CPD returns as part of the annual renewal process. It is particularly targeted at Licensed Bodies with a small number of registrants to provide an efficient and manageable process for auditing. Participating Licensed Bodies are required to liaise with the Science Council to agree an accurate list of their registrants eligible for audit, from which the audit sample will be selected. Licensed Bodies retain direct contact with their registrants and assessors whilst requesting information for audit, facilitating and coordinating assessments, making the final decision and providing feedback. Participating Licensed Bodies must ensure that they have at least 2 trained CPD assessors to complete assessments throughout the process. Where their workloads allow, assessors should be encouraged to also join the joint pool of assessors which provides assistance to participating Licensed Bodies who need a third assessor. The Science Council plans the process and provides support resources for process facilitation, CPD assessor training, CPD recording and CPD assessments. More detailed information about the Joint Monitoring Process is available through the Joint Monitoring Process guidance booklet and from the Science Council upon request.

## **Professionally Active**

The term professionally active is used to indicate that an individual is performing a role that requires them to keep their knowledge and competence up to date. It does not need to be full-time or paid work and so

members who are notionally retired but engaged in volunteering, outreach or consultancy, for example, should consider themselves as professionally active and undertake relevant CPD.

In contrast, someone who is reading journals and attending lectures out of personal interest but is no longer actively contributing to the profession either through paid employment or volunteering of some kind would not be considered professionally active.

### **Registrant**

A Registrant is a member of a Licensed Body who holds one of the Science Council awards: Chartered Scientist (CSci), Chartered Science Teacher (CSciTeach), Registered Scientist (RSci) or Registered Science Technician (RSciTech).

### **Renewal**

Renewal is the process carried out annually which enables Registrants to retain their award for a further 12 months. The renewal process is based primarily on CPD monitoring; that is, confirmation by declaration and/or providing evidence that the registrant is professionally active and complying with the Science Council's CPD standards.

# Annual Monitoring of Continuing Professional Development for Science Council Registrants

## Document Control

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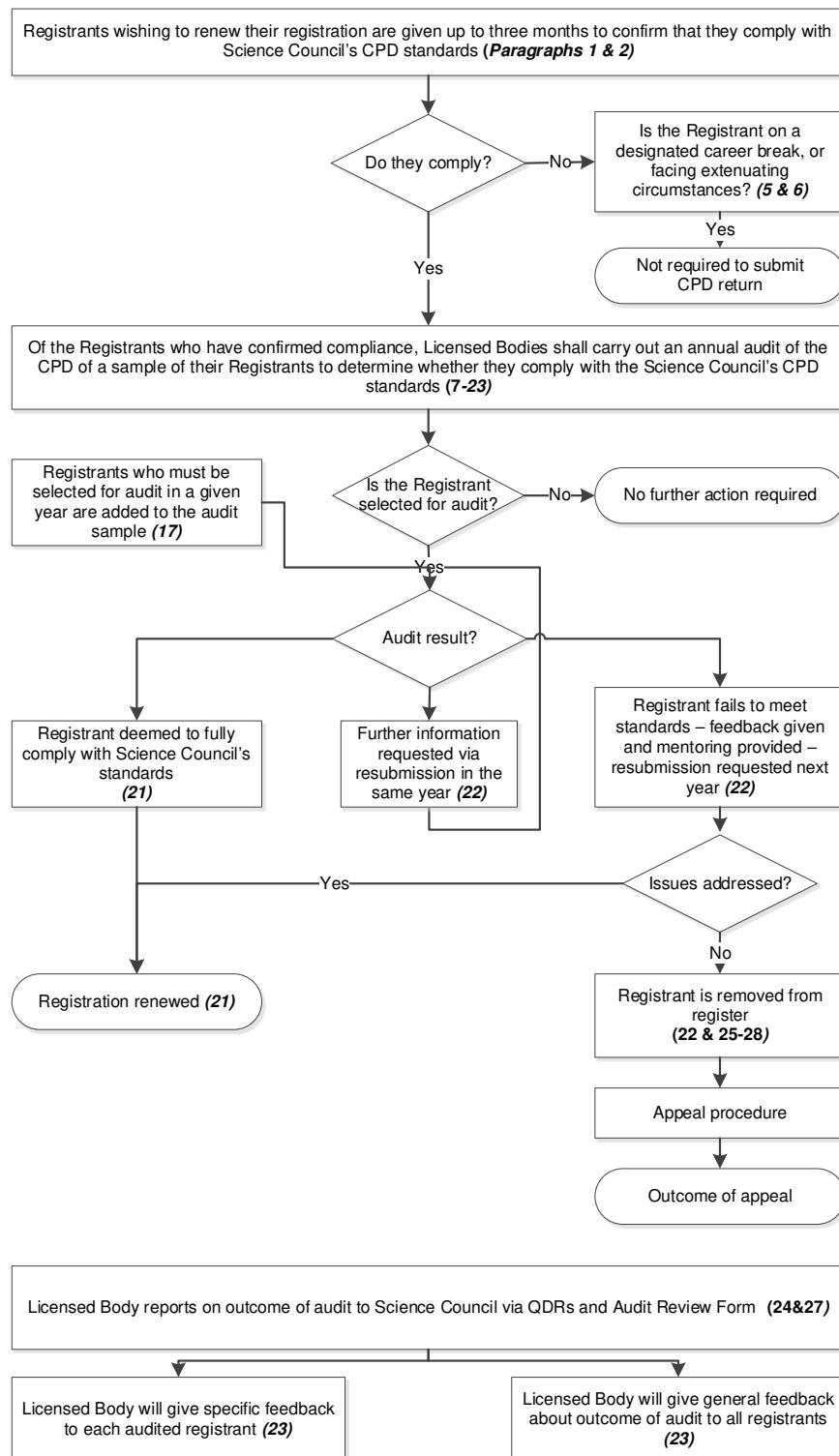
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## Appendix 1

### Annual Monitoring of CPD – Flow Chart



## Appendix 2

### CPD Recording Template

In order to retain RSciTech, RSci, CSci and CSciTeach status, all registrants must comply with the Science Council Continuing Professional Development (CPD) standard.



This CPD recording template has been provided to help you detail your CPD history and demonstrate that you meet the 4 Science Council CPD standards. This template has been designed to allow you to easily record and reflect upon your CPD activities in real-time, as you undertake them. It is good practice to record your CPD activities as you go along and you will be prepared if your CPD is selected for audit.

If your CPD is selected for audit your professional body are likely to ask you to submit a CV and/or job profile so that CPD assessors can better understand the context of your work. It might be helpful to ensure that you keep your CV as up-to-date as you can.

Your professional body might also ask for you to submit evidence which supports your participation in your CPD activities. Such evidence may include but is not limited to certificates, articles, training materials or feedback. Keep this in mind whilst undertaking your CPD activities as you might wish to keep a folder of evidence, for example on your computer, in case your professional body requests to see some. There is space in this template for you to make a note of evidence that you have which supports each activity. This will act as a helpful prompt for you to find where you have stored this evidence if your professional body asks to see it.

In addition, there is a section at the bottom of this template where you can note down any CPD activities that you plan to undertake in future.

To comply with the CPD standard your CPD record will include activities in at least three (exceptionally two) of the following categories.

- 2.1. Work based learning (e.g. supervising staff / students, reflective practice)
- 2.2. Professional activity (e.g. involvement in a professional body, mentoring)
- 2.3. Formal / Educational (e.g. writing articles / papers, further education)
- 2.4. Self-directed learning (e.g. reading journals, reviewing books / articles)
- 2.5. Other (e.g. voluntary work, public service)

#### How to use this form

Record your CPD activities in chronological order of their start date, working down the table rows. There is an example highlighted in green in the first row of the table (note that this is not a reflection of the amount of detail required to meet the CPD standard and only an example of how to use the form). If you have more activities to record than the table currently has space for, right click on the row at the bottom of the table, click 'insert' and then click 'insert rows below'.

## My Current CPD Record

Time Period this CPD Record Covers: e.g. 2020

Name:

Professional Body:

SCID/Membership Number:

<b>Date of completion and time spent on activity</b>	<b>Description of activity and learning category</b>	<b>Reflect upon how this has benefitted the quality of your practice</b>	<b>Reflect upon how this has benefitted the users of your work</b>	<b>Do I have evidence for this?</b>
22/07/2020 – 24/07/2020	2.3 Formal/Educational Attended a 2 day conference about (insert subject here).	Learning from others within my field introduced me to research methods that I can look into further and potentially use in my job role.	Adopting different research methods might make my work more efficient and result in my clients receiving quicker results.	Conference programme – stored in 'CPD Activities' file on desktop



## My Future CPD Plans

Time Period these plans cover: e.g. 2021

When do I plan to undertake this activity in future?	Description of activity and learning category code	Why am I planning to do this activity? What are my intended outcomes? How might this activity benefit the quality of my practice and the users of my work?
January 2021	S2.5 Present at STEM event at local primary school.	Presenting at STEM day at my local primary school will help me to work on my science communication skills and will hopefully result in the students gaining an interest in my field.

## Declaration

I hereby agree that the information given is correct and supports my wish to revalidate as a Registered Science Technician / Registered Scientist / Chartered Scientist / Chartered Science Teacher (delete as appropriate).

Please tick the box below to indicate your agreement to the declaration.

I agree to the declaration

Print name:

Date:

## Appendix 3

### CPD Assessment Template

#### How to use this form

Assess the registrant's CPD record against each standard detailing your assessment outcome and feedback comments in the boxes provided.

Please note that a registrant must either 'meet' or 'not meet' each standard, they cannot 'partially meet' a standard.

The comments that you include may be passed onto the registrant as feedback so do consider this.

If you feel that you need more detail, or need to see further evidence which supports a registrant's participation in a CPD activity you can say so.



#### Providing Feedback

As a CPD assessor, your role isn't to state your opinion on a registrant's CPD record, it is to give your recommendations as actionable feedback fulfilling the below:

#### State the issue clearly

If a CPD record does not fulfil the standard, say why. A registrant will often say what CPD they have undertaken but will not reflect upon why. Make it clear that they need to provide this reflection. It is important for assessors to provide feedback which teases out why there has been an issue. For example, the registrant might have not understood how to fill out their CPD record in the best way possible. Remember to state issues sympathetically and to choose what language you use carefully.

#### Suggest a possible solution

It can be easy to make assumptions about what to expect from a registrant's CPD record based on their job role or because they are from within your own profession. It is best to put these assumptions to one side and to assess the CPD record based purely on its content. If a registrant did not quite meet the standards, you can use your initial thoughts to guide feedback on what you feel they ought to be able to add to the resubmission. This isn't the same as telling a registrant what CPD to do, but if you know what you need to see, then say it. For instance, say "It is not clear which outcomes from the registrant's attendance at the management and leadership training course benefitted the quality of their work or improved their engagement with their PhD supervisees". Ultimately the solution is for the registrant to identify what the outcomes of the course were and to say how these improved their own work and benefitted the users of their work.

#### Be information-specific

When detailing why a registrant hasn't met the standard, stay focussed on the information they've provided and highlight which part of their CPD record your feedback refers to. It helps to ask for an expansion on what they've already written in their CPD record. Although their CPD record may be broken down into sections, the feedback provided may relate to multiple activities.

#### Be honest and complimentary where it is deserved

It can be a little bruising for registrants to receive feedback. Whilst it is in everyone's best interest that you are honest, be complimentary where it's deserved, even on a section that has not met the standard. Hearing the good things will motivate a registrant to improve their CPD record for a resubmission, and perhaps their approach to planning and undertaking CPD. Let applicants know when they are close to passing and when they might only have to make minor adjustments in their resubmission. Approaching it in this way will encourage the registrant rather than dishearten them if their CPD record has not met the standard initially.

#### Other pointers...

- Do not be needlessly ruthless in your critiques, belittle or insult the registrant's position in any way, nor use offensive language.
- Be succinct, but detailed.

Date Completed:

Assessor Name:

Registrant Name:

Declaration of interest (if applicable):

CPD Standard	Assessor's Comments	Standard Not Met (mark if yes)	Standard Met (mark if yes)
<u>Standard 1</u> A registrant must maintain a continuous, up-to-date, accurate and reflective record of their CPD activities and be able to provide supporting evidence if requested.			
<u>Standard 2</u> A registrant must demonstrate that their CPD activities are a mixture of learning activities relevant to current or future practice.			
<u>Standard 3</u> A registrant must seek to ensure that their CPD has benefited the quality of their practice and reflect upon this.			
<u>Standard 4</u> A registrant must seek to ensure that their CPD has benefited the users of their work (employee, customer, student etc.) and reflect upon this.			

**Assessor recommendation and any additional comments**

## Appendix 4

### Audit Review Form

*To be completed annually by Licensed Bodies*

Licensed Bodies are required to audit:

A minimum of 2.5% or 20 of Eligible Registrants whichever is larger and to report annually on the outcome of the audit to the Science Council either via the licence review or through the annual report.

Feedback from all those involved in the process is important in helping to refine the CPD standards and guidance.

[Please return your completed form to registration@sciencecouncil.org](mailto:registration@sciencecouncil.org)

	RSciTech	RSci	CSci	CSciTeach	Total
<b>Initial stage (pre-audit)</b>					
Total Registrants requested to submit a declaration:					
<b>Registrants not eligible for audit</b>					
Career break or extenuating circumstances:					
Became a registrant in past year:					
Successfully completed audit last year:					
Failed to respond to request and so removed from register:					
Resignation following request for declaration:					
<b>Total Registrants eligible for audit</b>					
<b>Audit stage</b>					
Total Registrants audited this year:					
<b>Renewals</b>					
Registrants adjudged to have met the standard in full:					
Registrants meeting the standard after request for further information:					
Registrants selected for audit the following year:					
<b>Removals</b>					
Registrants removed due to failure to meet standard:					
Registrants removed due to refusal to provide record:					
Resignations at point of audit:					

<b>Staff feedback</b>	
Areas of good practice:	
Areas of difficulty:	
<b>Assessor feedback</b>	
Areas of good practice:	

Areas of difficulty:	
<b>Registrant feedback</b>	
Areas of good practice:	
Areas of difficulty:	