**Upgrade Application and Assessment Guidance, Member to Fellow**

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| **Evidence of Fellowship requirements** |
| The paragraphs below show the type of information that should be demonstrated in an upgrade application for each quality statement. This list is not prescriptive or exhaustive and therefore other aspects of your work can be used to provide evidence. Remember to provide objective evidence where possible.  NOTE:- The candidate is required to provide evidence against all of the ‘E’ sections, plus both ‘D’ sections, OR all ‘E’ sections plus one ‘D’ section ,plus one ‘O’ section. |
| **Essential qualities** |
| **E1:** **A position of senior responsibility and/or significant autonomy in your particular field.**  Guidance: An applicant must be regularly taking decisions or making judgements that are not essentially dictated by established rules or procedures and which have significant importance in relation to the Company, University or other organisation, or an element of the organisation, of reasonable size. This can be in either managerial, commercial or technical fields or a combination of these. The fact that a candidate’s decisions may be subject to review or endorsement by someone more senior would not necessarily be an issue provided the initiative for proposing the decision lay with the applicant and their decision/judgement was normally accepted. For Consultants, whether or not they operate through a personal company, it is the nature of the work that they do and the level at which they interact with their customers which is important. |
| **E2: Demonstrable leadership qualities.**  Guidance: This may be in terms of personnel and/or technical matters. There should be clear evidence of the applicants taking the initiative and others following their lead and not just because they are employed to do so. This can include offering advice which is accepted and acted upon in the case of consultants provided the context is sufficiently important. Evidence of leadership outside of employment can be taken into account but is not itself sufficient to satisfy the requirements. |
| **E3: Influencing policy and strategy making decisions in either a technical or business environment.**  Guidance: The applicant should have an influence over the policy or strategy adopted by their employer or customer. This may not be direct control but there should be evidence that they have a significant input by way of working up proposals or are regularly consulted regarding important decisions and that their input is recognised. Straightforward changes to working practice within a candidate’s role are not sufficient but a major change of approach or restructuring for which they were responsible could be. |
| **E4: A structured approach to Continuing Professional Development (CPD).**  Guidance: There should be clear evidence of continuing professional development. A current record of CPD, preferably in support of a career plan, including any published papers or supporting documents, should be attached with the application. |
| **E5: The promotion of and commitment to the engineering or environmental professions.**  Guidance: There should be direct evidence of this. Where this is a function of the role, e.g. academic teaching, it may not be necessary to show anything beyond the job requirements where this is a significant feature of the job. In other cases the input of the applicant should be explicit. It should not simply be assumed that because a manager has a number of engineers reporting to them that they will be promoting engineering to them. Conversely if it is shown that a manager actively ensures that their staff fullfil this role, they satisfy the requirements for this Quality. Evidence of involvement in the SOE or other professional engineering activities will assist in meeting this Quality.  **Desirable qualities.** |
| **D1: Highly specialist knowledge in a specific area of engineering.**  Guidance: This requires a level of expertise that has been developed significantly beyond that of a typical engineer in this field (at the appropriate level of registration). It is the sort of person that others working in the field will normally go to for advice in the specialism and someone who might be publishing papers relating to the specialism. |
| **D2: Technical or engineering resource management and/or personnel management and development.**  Guidance: Evidence should demonstrate that the applicant has a significant management responsibility for staff and/or technical activities. The management of technical activities does not imply the same depth of knowledge as required at D1 but would imply a broader level of responsibility beyond being a technical specialist working alone. A Project Manager for a project or projects of significant size and complexity might have this quality provided they can demonstrate a track record at this level. |
| **Optional qualities.**  **O1: Responsibility for a budget and the associated risk.**  Guidance: The applicant should have significant involvement in setting a substantial budget, whether for a department or a project, and responsible for managing (rather than just monitoring) it. This should be in a context where real management is required, e.g. managing a departmental budget consisting of principally staff costs would not alone meet the requirements and nor would managing a large project budget where it is essentially buying catalogue items of known cost with no requirement to manage risk. |
| **O2: Application of a significant range of fundamental principles and complex techniques across a wide and often unpredictable variety of contexts.**  Guidance: The key words here are “significant range” and “complex techniques”. An applicant satisfying this requirement would provide evidence that they dealt with complex and possibly unpredictable problems that required the application of a range of engineering skills and principles either personally or that they supervised and guided those who were doing this. A manager with staff in a range of engineering disciplines or specialisms who plays an active role in resolving issues or an expert in an industry field who makes use of a number of different engineering principles in projects or tasks would satisfy this Quality. |
| **O3: Active development and application of new technologies in engineering and related areas at senior level.**  Guidance: This requires evidence of initiation of, or significant role in, the development of new technologies, or the application of recent developments, rather than just being a team member. Evidence of a significant role in change management or leading significant continuous improvement initiatives in an engineering or manufacturing environment could provide evidence for this requirement. |

**Application Assessment.**

After SOE HQ staff have checked that the application is in order, it will be forwarded to an experienced and trained Professional Review assessor for assessment. The assessor may not be from the same industrial background to the applicant. It is important that accurate information is provided within the career history submission particularly since election to ‘Member’ class.

**Assessment of the Qualities for Fellowship**

The assessor will score the Qualities on a scale of 0 to 3. The definitions for each score are set out below.

0: The evidence shows that the Quality is not met.

1: The evidence indicates that the applicant is marginally short of meeting the requirements. For example, the applicant may be undertaking some of the expected activities but is not able to demonstrate that they are being done on a regular basis or fully at the appropriate level.

2: The evidence indicates that the applicant meets the requirements.

3: The applicant well exceeds the requirements.

**Commitment to the SOE**

The assessor will look for typical examples such as:-

The number of years of continuous membership by the candidate of SOE and its Professional Sectors; The examination of the CPD record for support of SOE activities appropriate to the applicants career and in support of a career plan; The possible benefits to SOE by the candidate’s industrial activity attracting new members and the promotion of the SOE with his employer and staff; The candidate’s participation in any local SOE committee activity. Other evidence may be given by the candidate.

**Summary**

The assessor has several options available when they have finished their review of the application. Ultimately the outcome will form a recommendation to the M&PS Committee.

**Elect to Fellow:**

Applicants will have either met or exceeded the minimum score requirement: level 2 or above for all of the essential qualities plus two level 2 scores in the desirable qualities OR level 2 or above for all of the essential qualities plus one level 2 score in the desirable qualities plus one level 2 score in the optional qualities.

**Defer with guidance:**

Applicants will not have met the minimum scoring requirement in some of the essential qualities. From the evidence provided it is clear that more development in career role and recording of evidence is required, but the potential for a successful application at a later date is apparent. The assessor will provide guidance on areas that the applicant should seek to improve before making another application; deferrals are not time sensitive and should therefore refer to quality outcomes, rather than duration in role.

**Request additional evidence:**

The applicant will have provided some evidence of the qualities, however, it may be insufficient for the assessor to make a definitive recommendation to elect or defer. From the application it may seem that the applicant is working at Fellow level, but more information on some of the qualities would assure the assessor that the qualities can be demonstrated. The assessor will provide detail of where the gaps in the application appear to be – this will be passed back to the applicant. When the additional information is received the application will be sent back to the assessor to complete their review.

**Recommend interview:**

Normally, the assessor will have requested additional information before recommending an interview. This option may be treated as the ‘last resort’ when an applicant appears to be operating at Fellow level but may benefit from a face to face discussion with professional review interviewers. All recommendations for interview will first be reviewed by the M&PS Committee before the applicant is contacted. The M&PS Committee has the authority to elect or defer without an interview, if they deem this the most appropriate outcome. If it is decided that an interview is necessary, additional information will be passed on about where the perceived gaps or weaknesses in the application may be as the interview will concentrate on these areas. This information will also be sent to the interviewers so that the discussions with them will be focussed and may not need to cover all of the qualities for Fellowship.

**Not recommended:**

The applicant has not been able to demonstrate evidence at level 2 in any of the essential qualities. This recommendation should be reserved for applicants who do not appear to be in a role that will allow the qualities for Fellowship to be developed. Often, this recommendation will be used for applicants where a promotion or change of role would be required before Fellowship could be achieved.

**The Membership & Professional Standards Committee (M&PS).**

The M&PS Committee meets to consider all applications for Membership and Fellowship. The committee will review the recommendation made by the assessor. At this stage the committee could also ask for further information from the applicant if there are any remaining areas of uncertainty within the paperwork. The M&PS Committee moderates all applications for Membership and Fellowship so that the same high standards are maintained, regardless of the route the applicant has taken.

Successful applicants will receive an e-mail, followed by a letter from the SOE Chief Executive and the SOE President confirming their achievement. Unsuccessful applicants will be written to by the M&PS Committee secretary and they will be given detailed feedback regarding the reasons for this decision. A copy of the assessment paperwork completed by the assessor can be sent upon request to both successful and unsuccessful applicants for use in professional development.

**Appeals.**

The SOE has an appeals process in place which can be used by applicants who are dissatisfied with the assessment of their application. Unsuccessful applicants will be advised of the appeals process when they are informed of the outcome of their assessment. In such cases all documentation will be made available to the Appeals Panel.