

## SUPERVISING ENGINEERS PANEL

### GUIDANCE FOR THOSE SEEKING APPOINTMENT OR REAPPOINTMENT

**Guidance prepared by the Reservoirs Committee of the Institution of Civil Engineers**

#### 1. GENERAL

- 1.1 This guidance is aimed at candidates seeking appointment to the various Panels of Supervising Engineers that have been established in the member countries of the United Kingdom.
- 1.2 It updates previous information contained in the more general document “Appointments to panels set up under the Reservoirs Act 1975, Guidance for Applicants prepared by the Reservoirs Committee of the Institution of Civil Engineers (ICE) (Version 1.13 May 2013)”.
- 1.3 The panel structure is an essential element of the operation of reservoir safety legislation throughout the United Kingdom and associated territories. Appointments to the panels are made by Secretary of States or by Ministers of the national or devolved Parliaments or government departments, where appropriate. In each case, appointments are only made after consultation with the President of the ICE or the Chairman of the ICE Reservoirs Committee.
- 1.4 All applicants must clearly understand that the sole reason for appointment to the panels is for the purposes of meeting the requirements of reservoir legislation in the UK. Such legislation includes the Reservoirs Act 1975 (as amended), the Reservoirs (Scotland) Act 2011, and, the Reservoirs Act (Northern Ireland) 2015.
- 1.5 An applicant must be able to demonstrate that he/she possesses the attributes expected of a Supervising Engineer, as set out in the Attributes document.
- 1.6 Applicants are not expected to have personal experience in every form of dam and reservoir construction, although they will be expected to be able to demonstrate a technical appreciation and understanding across the sector.
- 1.7 All applicants for appointment should be aware that the duties of a panel engineer may be physically and intellectually demanding. Applicants should be confident that they would have the physical and intellectual capabilities to carry out their duties to an appropriate standard throughout the five-year period of the appointment.
- 1.8 This guidance is separated into two parts: A and B. Part A relates to new applications to the panel while Part B relates to applications for reappointment to the Panel.
- 1.9 A suite of forms and guidance for use notes has been developed for prospective applicants and re-applicants, which are summarised below:

New Applications		Re-applications	
RC01	Standard new application form	RC05	Standard re-application form
RC01G	Guidance note to application form	RC05G	Guidance note to re-application form
RC02	List of reservoirs and associated experience	RC06	List of reservoirs and associated experience
RC03	Written assessment form *	RC07	Written assessment form *
RC04	Interview assessment form *	RC08	Interview assessment form *
<ul style="list-style-type: none"> <li>• For Reservoirs Committee use only.</li> </ul>			

Electronic templates will be stored on-line and accessible to all. In the event of problems, then reference should be made to the Secretary of the Reservoirs Committee at the ICE.

## **PART A            APPLICATIONS FOR FIRST APPOINTMENT**

### **2.            PREPARATION FOR FIRST APPOINTMENT TO THE PANEL OF SUPERVISING ENGINEERS**

- 2.1 All applicants must understand that the sole reason for appointment to any of the panels is for the purpose of working within the legislative framework of the United Kingdom. Applicants with insufficient knowledge or experience of current UK practice will not be recommended by the ICE for appointment.
- 2.2 Previous guidance to applicants has stated that “It is unlikely that any Candidate would be able to accrue enough experience in the sector without at least five years of involvement in projects”. Factors such as knowledge base, time of service and level of responsibility attained are important criteria but other attributes also need to be taken into consideration, which, amongst other things, include professional maturity, judgement and observed capability for the role.
- 2.3 Candidates should complete their application in a manner that addresses the different attributes that are required of a Supervising Engineer. It should be noted that these attributes may be explored during interview.
- 2.4 It is generally envisaged that prospective applicants will have attended at least ten reservoir visits with experienced Supervising Engineers and at least six Statutory Inspections undertaken by an Inspecting Engineer.
- 2.5 Independent judgement is an essential attribute of a Supervising Engineer and it is important that all prospective candidates appreciate their strengths and limitations.
- 2.6 It is recommended that prospective applicants seek one or more mentors to guide them in their training and preparation for the Supervising Engineer role. Mentors should be existing members of one of the panels and ideally should include the person supplying the reference required to accompany the application.
- 2.7 It is recommended that a candidate assess his or her personal strengths and weaknesses and then discuss these with a mentor at an early stage of their preparation. This approach should help to identify those areas where a candidate may need to expand his or her knowledge or experience base and also help with the formulation of an appropriate personal development plan. The aim should be to develop a sufficiently broad based skill-set prior to submitting an application.
- 2.8 Candidates should note that the accuracy of entries on the application form will be assessed at interview. When completing the application form the candidates should choose examples that demonstrate how they have met the criteria set out in the stated list of attributes. It is suggested that candidates provide a concise and accurate description of their competency for each attribute.
- 2.9 Candidates will not normally be required to demonstrate their basic competence with regard to engineering knowledge and its application beyond the dam and reservoir sector.

### **3.            SUBMITTING APPLICATIONS FOR FIRST APPOINTMENT TO THE PANEL**

- 3.1 Applications must be submitted in accordance with the requirements of the appropriate legislation. As a minimum, the application shall contain the following information:
1. The applicant’s full name, address and date of birth.
  2. The relevant qualifications of the applicant.
  3. The applicant’s membership of professional institutions.
  4. Particulars of the applicant’s present employment.
  5. Particulars of all work carried out by the applicant in relation to reservoirs, giving details of the associated design, construction, maintenance or repair on which the applicant has been employed, and including the type, capacity and main dimensions.

- 3.2 Applicants must state which panel they wish to be appointed to and also the countries in which they wish to work. It should be noted that the legislation varies across the member countries of the UK and additional registration processes may apply outside England.
- 3.3 Applicants must submit the information on the standard application form RC01, a copy of which available on-line. The purpose of the form is to gather evidence of competency in a concise and succinct manner, which will facilitate assessment of the application.
- 3.4 Applicants should note that form RC01 is limited in length and is to be submitted in the font, line and character spacing adopted by the standard form. No extra pages or appendices other than those identified in the guidance note will be permitted. There is no limit to the length of RC02 but the Reservoirs Committee is unlikely to be swayed by over-elaborate descriptions.
- 3.5 In the event that the applicant fails to comply with this requirement then the documents will be returned to the applicant for resubmission prior to further assessment or processing.
- 3.6 Applicants must take all reasonable steps to ensure that the information provided in their application is complete and accurate. If an application is found to contain incomplete, incorrect or misleading information for which there is no satisfactory explanation, then this may be referred to the relevant professional body to consider whether disciplinary proceedings are appropriate.
- 3.7 Applicants for appointment should ensure that their application is sent to the relevant government department at least nine months before they intend to commence any employment or commission to act as a Supervising Engineer.
- 3.8 The application must be accompanied by a reference from a chartered civil engineer, preferably from an All Reservoirs Panel Engineer, as to the suitability of the applicant for appointment. The engineer must have sufficient knowledge of the candidate's suitability for appointment and must be familiar with, and able to verify, the applicant's experience and standard of work. The reference shall state clearly how long the civil engineer has known the applicant.
- 3.9 Only one personal reference is permitted. Both the applicant and the civil engineer providing the reference shall ensure that the reference is truthful, accurate and in no way misleading. In this context members of the ICE shall be mindful of the provisions of the Code of Professional Conduct regarding the requirement to act with integrity.
- 3.10 The information provided by an applicant shall indicate clearly the responsibilities held and a description of the technical work undertaken in relation to reservoirs. It shall be provided in sufficient detail for the Reservoirs Committee to make a proper assessment of the applicant's qualifications and experience. In addition, applicants shall provide details of how they have maintained their CPD and evidence of appropriate health and safety training.

#### **4. ASSESSMENT OF APPLICATIONS FOR FIRST APPOINTMENT TO THE PANEL**

- 4.1 An application for first appointment to the Panel is subject first to an assessment by each sub-committee member of the Reservoirs Committee of the ICE. As part of the assessment process, the committee members shall assess the application by completing a standard assessment form (RC03).
- 4.2 Sub-committee members with a clear or a potential conflict of interest will not be permitted to assess new applications or be able to participate in the review or interview process.
- 4.3 Applicants for first appointment will usually be invited to attend an interview with members of the Reservoirs Committee in order to assess their suitability for appointment. The interview panel is provided with copies of the individual written assessments so that any particular areas of weakness or concern identified by committee members may be covered at the interview.

- 4.4 Exceptionally, it may be evident to the Reservoirs Committee from the application alone that the applicant is not suitable for appointment, in which case the applicant will not be called for interview and Government department will be advised that the applicant is not recommended as suitable for appointment.
- 4.5 The interview panel will seek to establish whether the candidate meets the standard set out in the list of attributes.
- 4.6 The interview panel will be informed if the applicant has made a previous unsuccessful application for appointment to the panel for which the applicant is now applying. The interview panel will be informed of the grounds on which any previous decision not to appoint was made and of any advice that was given to the applicant in relation to any previous application.
- 4.7 Each interview panel member will complete an assessment form (RC04) for the interviewee at the end of the interview. The interview panel shall discuss the applicant's performance upon completion of the forms and take into account individual markings on each form before reaching a collective view on the suitability of the applicant for appointment.
- 4.8 The interview panel will report its findings to the Reservoirs Committee, which will then decide upon the advice to be given to the relevant Government Department regarding the application for appointment.
- 4.9 Unsuccessful applicants should not submit any new application to the relevant Government Department and the ICE Reservoirs Committee until such time as they have fully addressed the concerns identified in the letter of refusal.
- 4.10 Applicants who wish to make a complaint about the process or to make an appeal against the decision of the Minister should contact the President of the Institution of Civil Engineers and/or the Chairman of the Reservoirs Committee in the first instance. The Reservoirs Committee will be consulted regarding any review.

## **PART B APPLICATIONS FOR RE APPOINTMENT**

### **5. PREPARATION FOR REAPPOINTMENT TO THE SUPERVISING ENGINEERS PANEL**

- 5.1 All applicants must understand that the sole reason for reappointment to any of the panels is for the purpose of working within the legislative framework of the United Kingdom.
- 5.2 Candidates should complete their application for reappointment in a manner that addresses the different attributes that are required of a Supervising Engineer, as set out in the Attributes document.
- 5.3 Independent judgement is an essential attribute of a Supervising Engineer and it is important that all applicants appreciate their strengths and limitations.
- 5.4 The Reservoirs Committee will look for evidence of knowledge and ability that is commensurate with the years of involvement with reservoir projects.
- 5.5 Applicants should note that the accuracy of entries on the application form may be assessed at interview. It is essential that full disclosure is made of the applicant's appointments, experience and training.
- 5.6 An applicant seeking reappointment must show a broadening and updating of his/her knowledge by means of a detailed record of continuing professional development (CPD) together with evidence of practical experience.
- 5.7 An applicant seeking reappointment who cannot demonstrate the requisite experience or CPD during the previous five years will not be recommended for reappointment.
- 5.8 Applicants for reappointment must demonstrate satisfactory, competent and reasonable actions in the performance of their duties under the Act with regard to owners, constructors and enforcement authorities and involvement in duties under the Act.

### **6. SUBMITTING APPLICATIONS FOR REAPPOINTMENT TO THE PANEL**

- 6.1 Applications for reappointment to the Panel must be submitted in accordance with the requirements of the appropriate legislation. The application shall contain the following information:
  - 1. The applicant's full name, address and date of birth.
  - 2. The panel to which the applicant is currently appointed and the date of the applicant's first appointment.
  - 3. The relevant qualifications of the applicant.
  - 4. The applicant's membership of professional institutions.
  - 5. Particulars of the applicant's present employment.
  - 6. Particulars of all work carried out by the applicant in relation to reservoirs since appointment to the panel or within the last five years shall be provided, giving details of the type, capacity and main dimensions.
- 6.2 Applicants must state which panel they wish to be appointed to and also the countries in which they wish to work. It should be noted that the legislation varies across the member countries of the United Kingdom and additional processes may apply outside England.
- 6.3 The details provided by an applicant shall indicate clearly the responsibilities held and a description of technical work undertaken in relation to reservoirs. It shall be provided in sufficient detail for the Committee to make a proper assessment of the applicant's continued competence. In addition, applicants shall provide details of how they have maintained their CPD and provide evidence of appropriate health and safety training, particularly in relation to dams and reservoirs.
- 6.4 Applicants must submit the information on the standard forms (RC05 and RC06), copies of which are available on-line. The purpose of the two forms is to gather evidence of competency and facilitate assessment of the information therein.

- 6.5 Applicants should note that form RC05 is limited in length and is to be submitted in the font, line and character spacing adopted by the form. No extra pages or appendices other than those identified in the guidance note will be permitted. There is no limit to the length of RC06 but the Reservoirs Committee is unlikely to be swayed by over-elaborate descriptions.
- 6.6 Applicants must take all reasonable steps to ensure that the information provided in their application is complete and accurate. If an application is found to contain incomplete, incorrect or misleading information for which there is no satisfactory explanation, then this may be referred to the relevant professional bodies to consider whether disciplinary proceedings are appropriate.
- 6.7 Applicants for reappointment should ensure that their application is sent to the relevant UK region or territory at least nine months before the termination of their current appointment. Failure to make a timely submission may result in the application not being considered in time by the relevant government department or the Reservoirs Committee, in which case the applicant's current appointment may expire prior to reappointment.
- 6.8 In the case of an application for a reappointment where the previous appointment has expired then the application shall be treated as a new application. It must be accompanied by a reference from a chartered civil engineer as to the suitability of the applicant for appointment. This reference should preferably come from a panel engineer who has sufficient knowledge of the candidate's suitability for appointment and is familiar with, and can verify, the applicant's experience and standard of work.

## **7. ASSESSMENT OF APPLICATIONS FOR RE-APPOINTMENT TO THE PANEL**

- 7.1 In the case of applications for reappointment, the application is subject first to an assessment by one of the two sub-committees of the Reservoirs Committee. Each sub-committee member shall assess the application by completing a standard assessment form.
- 7.2 Sub-committee members with a clear or a potential conflict of interest will not be permitted to assess applications for reappointment or be able to participate in the review or interview process.
- 7.3 The Committee may seek relevant information from Enforcement Authorities with regard to submission of statements, directions, etc., by the applicant. In exceptional circumstances, the Committee may also seek information from third parties concerning the applicant's performance in relation to his current period of appointment. In this event, the applicant will be informed.
- 7.4 Applicants for reappointment to the panel will be invited to attend interview if their application or any information received from third parties reveal deficiencies or weaknesses that the Reservoirs Committee considers should be resolved by interview. In such cases, the interview panel is provided with copies of the individual assessments so that the particular areas of weakness or concern identified by sub-committee members may be covered at the interview.
- 7.5 In most but not all cases, applicants for reappointment will not be interviewed and the Committee's advice to government departments will be made on the basis of their assessment of the standard application forms.
- 7.6 Applicants for reappointment should demonstrate that their work environment is sufficient to ensure that the currency of their skills and technical knowledge continue to be of a satisfactory standard.
- 7.7 All reappointment applicants invited for interview will be asked to bring two annual statements prepared during their current appointment for examination by the interview panel. These reports will be returned at the end of the interview. The contents of the reports or statements will be confidential to the interview panel and will not be revealed to any other party.
- 7.8 The interview panel members each complete an assessment form (RC08) for the interviewee at the end of interview. The panel then discuss the applicant's performance and reach a collective view on the suitability of the applicant for appointment. The panel then reports its findings to the Reservoirs Committee, who then decide upon the advice to be given to Ministers.

- 7.9 In considering an application for appointment, the Reservoirs Committee will take account of the application, the report of the interview panel and any additional information that the Committee has asked the applicant to provide.
- 7.10 Applicants who wish to make a complaint about the process or to make an appeal against the decision of the Minister should contact the President of the Institution of Civil Engineers and/or the Chairman of the Reservoirs Committee in the first instance. The Reservoirs Committee will be consulted regarding any review.

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