

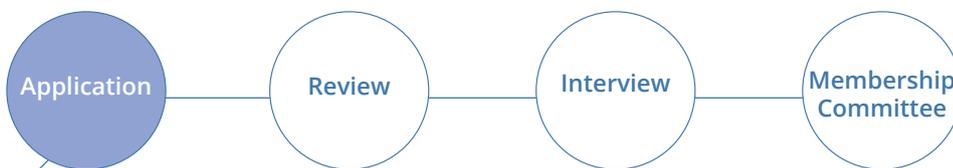
# CHARTERED ENGINEER APPLICATION GUIDANCE



The Institution for Rail Infrastructure Engineers

CEng MPWI

YOUR PWI PROFESSIONAL REGISTRATION JOURNEY



## ABOUT THIS FORM

This guide will provide you with support and advice as you complete and submit your application to become a professionally registered Chartered Engineer with the Permanent Way Institution.

## GUIDANCE NOTES

We have made the application process as straightforward as possible so that you can focus on using it to demonstrate your professional and personal skills that will enable you to achieve your professional registration.

These guidance notes clearly outline what is required. It is important that you understand the current requirements for becoming a Chartered Engineer and that you are confident that you meet them before making your application.

## FURTHER HELP

Please read and review these notes before starting your application. If you have any questions or queries at any stage of the application process, please contact our Professional Registration team.

For further help: **01277 230031 (option 2)** [profeng@thepwi.org](mailto:profeng@thepwi.org) [www.thepwi.org](http://www.thepwi.org)

## APPLICATION PROCESS

The application process comprises the following steps:

1. Check you have fulfilled the academic requirements for CEng
2. Get one Supporter and one Sponsor
3. Complete and submit an Initial Application form and fee
4. Complete and submit your full CEng application, including c.5000 word Professional Review Report
5. Two Scrutineers independently confirm that there is sufficient evidence of the criteria being met to progress to interview
6. Have a Professional Review Interview
7. Receive the Membership Committee's decision

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Before you apply

## What is Professional Registration?

Professional registration is recognition that an individual's knowledge, understanding and competence meets the internationally recognised standard for the engineering profession and that the individual is committed to keeping these up to date and acting with integrity in the public interest.

## What is the standard?

The United Kingdom Standard for Professional Engineering Competence (UK-SPEC) is the standard that governs the engineering profession. It is published by the Engineering Council, the UK regulatory authority of professional engineers and technicians. UK-SPEC provides a framework for assessment and is used and applied by all UK-based engineering institutions. It describes the five competence and commitment requirements you have to meet before you can register as a professional Chartered Engineer.

## What do we mean by competence?

Competence is the ability to carry out a task to an effective standard. It is about more than just being able to perform a specific task; it is being able to do it correctly, safely, effectively and consistently. To achieve this requires the right level of knowledge, understanding and skills, combined with the right values and a professional attitude.

## What do we mean by commitment?

Registered engineers and technicians demonstrate a personal and professional commitment to society, their profession and the environment. They are required to show that they have adopted a set of values and behaviours that will maintain and enhance the reputation of the profession.

To become registered through the PWI you must provide evidence of:

- Complying with the PWI Code of Professional Conduct (Annex B)
- Managing, applying **and improving** safe systems of work
- Undertaking engineering activities in a way that contributes to sustainable development
- Carrying out CPD necessary to maintain and enhance competence
- Actively participating within the profession

## How do you demonstrate your competence and commitment?

In addition to the application form, you will need to complete a written report to demonstrate that you meet the PWI CEng Competence and Commitment Criteria (Appendix A). These five professional and key personal skills describe the requirements for CEng registration and provide the framework against which you will be assessed.

The PWI competence and commitment criteria fully comply with UK-SPEC. The PWI require an enhanced focus on safety and candidates must demonstrate their absolute commitment to the application and continuous improvement of staff and system safety.

Through your qualifications and/or the course of your career to date, you will have gained substantial engineering knowledge. You must combine this with your managerial experience and professional development, (typically no less than 3-4 years) to demonstrate the required level of underpinning knowledge (academic or theoretical principles) and engineering competence (practical working, understanding and application).

## How do we assess your competence and commitment?

The standard is assessed in two-stages. Firstly our experienced Reviewers will assess your application form and written report; should this be successful, you will be invited to attend an interview. Providing you are deemed to meet the required standard, you will be recommended to our Membership Committee for registration with the Engineering Council at Chartered Engineer level.

## What are the long-term obligations of Professional Registration?

Candidates applying for professional registration must demonstrate that they are committed to maintaining and enhancing their competence. In your application you will be required to show evidence that you have taken steps to ensure your continuing professional development. This is an important part of recognition as a registered engineer, and it is important that you acknowledge and accept that this will entail obligations and on-going commitment. You will be required to keep an up to date CPD record that will be subject to periodic evaluation by the PWI.

## What are the academic requirements for CEng registration?

Before you complete your Professional Review Report, you must ensure that you are able to demonstrate the engineering knowledge and theoretical understanding required of Chartered engineers. It is about depth of understanding, as opposed to breadth and you will need evidence to show you possess the engineering knowledge equivalent to that of a Masters degree. This can be in the form of an accredited degree; approval from our Academic Assessment Panel that your qualifications meet the required standard; or the successful completion of our Technical Report Option.

If you have completed a qualification, please check whether it is accredited for Chartered registration by using the Engineering Council's Accredited Qualification search: <http://www.engc.org.uk/education-skills/course-search/> If it is not on the Engineering Council list, don't worry; we will be able to review and assess your qualifications without charge and advise you as to the best route to registration. Please visit [www.thepwi.org](http://www.thepwi.org) for more information.

If you do not hold any formal qualifications, we would encourage you to apply through our Technical Report Option. This rigorous, yet straightforward route is open to any rail infrastructure engineer seeking to fill their academic gap and attain their aspired professional grade. Please visit [www.thepwi.org](http://www.thepwi.org) for more information.





## Completing your application form

### General guidance

- Please type using a black font or complete in block capitals using black ink only
- Please complete all applicable fields in this form
- Please ensure there are no spelling or grammatical errors
- Please ensure that your application is proof read before submitting it
- Please save your full application as one pdf document, not exceeding 10MB.

### Section 1

#### About you

In this section we ask for your personal, employment and qualification details.

#### Part A

#### Personal details and employment details

Please complete all the fields and ensure you include your PWI membership number. We ask you to provide your employment information to demonstrate the level of responsibility that you hold and your accountability within the organisation that you work for.

#### Part B

#### Qualification details and certified certificates

Please provide full details of your accredited qualifications such as Masters degree, Bachelors plus further learning and any other engineering qualifications you have achieved. Include the dates and establishments through which you studied. You must include copies of all related certificates, which must be signed by your Sponsor to verify that they are a true copy of the original.

### Section 2

#### Competence and commitment evidence

#### Part A

#### Career history

Experience in the workplace is vital to professional registration. You must demonstrate that you have gained a sufficient breadth and depth of engineering and management experience to undertake a position of responsibility appropriate to an Chartered Engineer.

### Engineering experience in current position and past employment.

Start and end dates	Employer and job title	Roles and responsibilities
<p>You should write an extended description of your current role, or the role that is most relevant to your application. The Reviewers will be seeking to determine the level of responsibility that you hold, so give an indication of the size and financial value of projects undertaken and the size of the teams you manage. Use this section to demonstrate your accountability within the organisation, and how this has developed through your career history. For your past employment, you should order these starting with your earliest post.</p> <p><b>Here are some useful tips:</b></p> <ul style="list-style-type: none"> <li>• Describe your roles and responsibilities carefully and concisely</li> <li>• Keep it personal. Talk about your own achievements, tasks and actions, not the team's successes</li> <li>• Emphasise how you made a difference or had an influence</li> <li>• Use terms such as "I developed, built, tested, commissioned, operated, maintained, supervised, achieved....."</li> <li>• "I achieved X at..." is a more effective statement than "X was achieved at..."</li> <li>• Avoid using jargon or unexplained abbreviations</li> <li>• Remember to use language that can be easily understood by someone who is not a specialist in your field</li> <li>• Remember to include the dates, employer, job title and the roles and responsibilities you had. Do not leave any gaps in your history.</li> </ul>		





### Professional Review Report

The principal purpose of the Professional Review process is to enable the Reviewers to validate, or otherwise, your competence and commitment in a transparent, objective and auditable manner. The combination of your Professional Review Report and Interview will allow the Reviewers to determine whether or not you are working at a level appropriate to the grade of Chartered Engineer.

#### Content

This is the means by which you demonstrate how you have met each of the five competences required for PWI CEng registration. Please see Appendix A for the PWI CEng Competence and Commitment Criteria. Each competence area is broken down into sub-statements and it is essential that you provide evidence through examples, review and evaluation, to highlight when and how you have demonstrated each competence.

In your report you must emphasise your responsibilities, experience and expertise in each competence, stressing your ability to do things correctly, safely, effectively and consistently. You should expand on decisions you made, problems you met, and occasions when you gained unusual or extensive experience and learned valuable lessons. You must show where you have exercised independent judgement – as an engineer and a practising professional.

You may choose to select one or two fairly recent projects, where you played a major part that will allow you to demonstrate:

- the breadth and depth of your engineering knowledge and how you apply or have applied engineering principles
- your ability to design, develop and apply or use new and emerging technologies appropriate to Chartered Engineer and, in doing so, how you have improved safety
- how you lead teams and develop staff to deliver continuous improvement in safety
- evidence of any relevant training you may have completed (copies of training certificates are not required)
- how you have applied your engineering knowledge, experience and initiative to identify and solve problems
- your level of responsibility and autonomy within the project or processes
- how your leadership skills have developed and how you influence others

You should make a clear statement that you have read, understood and will abide by the PWI Code of Professional Conduct. You should state your commitment to maintaining and enhancing your continuing professional development (CPD) and evidence of this must be included in your appendices. Finally, you should highlight your commitment to the profession, your willingness to support others and should mention if you are involved with the PWI or the promotion of engineering.

#### Concluding Statement

On the final page of the report the following statement should appear, signed by your Sponsor. (Please note this must be your Sponsor, not your Supporter).

**“I certify that I have read the Professional Review Report written by (your name) and confirm that to the best of my knowledge it is a true and accurate statement.”**

#### Appendices

##### a) Supporting evidence

Numerical analyses, cost data, drawings or other relevant additional documentation should be included as appendices to support the content of your report. They are not included in the word count.

Your appendices should include no more than:

- Three drawings (relevant to your report), which should be legible when printed at A3 size
- Twelve A4 sides of additional information, including any relevant calculations

##### b) CPD evidence

Your appendices must include the following records:

- A development action plan / personal development plan which details your objectives for the current/forthcoming year
- Your continuing professional development records for a minimum of three years (with a minimum of 30 hours of effective learning per year)





### Professional Review Report

#### Format

Your Professional Review Report should be approximately 5000 words, excluding any documents or appendices. Please follow these guidelines;

- Type using an appropriately sized black font and double line spacing
- Cross reference each paragraph / section with the competencies it relates to eg in a margin, at the end of a paragraph, in a section heading
- Include a word count declaration, and page numbers
- Write in the first person, excluding any company jargon and acronyms
- Emphasise what you did and how you made a difference or had an influence
- Be clear and succinct
- Ensure there are no spelling or grammatical errors
- Ensure that your report is proof read before submitting it
- Save your full application as one pdf document, not exceeding 10MB.

#### Part B

#### Competence and commitment evidence mapping

Once you have completed your Professional Review Report, you will need to read and match each competence and commitment criteria to the evidence in your report, by identifying the relevant pages and paragraph references. Please complete the grids on page 5 and 6 of your CEng Application form to map this information.

### Your declaration

Please read the declaration before signing and dating this section.

### Supporter and Sponsor

You will need two people to read, support and sign your application and Professional Review Report. Both the Supporter and Sponsor will need to provide their contact details and sign your application. They should read your application thoroughly, to confirm they are in agreement with the information you have provided. They are signing the form to indicate that they believe you are suitable for consideration for registration as a Chartered Engineer Member of the Permanent Way Institution.

#### Supporter

Your Supporter should be someone who knows you well and regularly works with you, as they will be required to answer the three competence based statements. They could be your line manager or a registered engineer, but cannot be directly related to you.

#### Sponsor

Your Sponsor must be a chartered engineer with any Engineering Council listed engineering institution; although preferable, they do not have to be a member of the PWI. Your Sponsor can also be your Supporter, but cannot be a direct family member.



## Professional Review Interview

This is the second stage in your Professional Review and it is a mandatory part of the professional registration process. Every Chartered or Incorporated Engineer, regardless of their discipline, has to attend an interview.

**The interview panel** - The interview panel will be comprised of two Reviewers who are registrants at or above the grade you seek. They will be appropriately trained and at least one will be conversant in your field of technical expertise. Prior to the interview they will have reviewed;

- Your application form
- Your Professional Review Report detailing your professional experience , with cross referencing to the competence and commitment criteria
- Any other documentary evidence you have provided in support of your application, including CPD and PDP.

**The interview process** - The interview will last approximately 60 minutes. You are required to prepare a presentation in support of your application, to last no more than 10 minutes, which explores a technical engineering topic or safety initiative which you have led or had significant involvement in. The presentation will form part of the assessment process and contribute to the A-E competency scores. Please bear in mind that AV facilities are not guaranteed. Paper copies of your presentation will be required for each Reviewer.

You are expected to play a leading role in the discussion, and provide detailed and specific answers about actual events to demonstrate the competences. You may be asked to expand on some of your answers, and highlight how processes or tasks might have been done differently.

You are encouraged to develop answers and explain things clearly and concisely. Your answers should be structured to demonstrate good communication skills and you should avoid the use of acronyms, company jargon or slang.

Throughout the interview you should emphasise how you have ensured that safety is paramount in your decision-making, leadership and general conduct.

You can expect a level of technical questioning. Interview panel members may take the opportunity to develop a particular technical issue or aspect of your responsibilities, particularly if you have not demonstrated sufficient evidence of a particular competence in your report. This could take the form of an in-depth question-and-answer exchange of the engineering principles involved, or the development of an innovative process review to establish your theoretical understanding of the issues involved.

You can bring supporting evidence to back up any discussion, but should be aware of the time constraints. You might find items such as technical drawings, photographs, sketches, calculations and design drawings can quickly clarify a technical point.

The final few minutes of the interview will give you an opportunity to talk about anything that you think is important to your application that has not yet been mentioned.

### How you will be assessed

You will be assessed against every competence and one of the following levels will be assigned according to the panels' observations.

<b>No Knowledge</b>	0	Insufficient understanding of the activity
<b>Appreciation</b>	1	Has a basic understanding of the activity
<b>Knowledge</b>	2	Has an understanding of the activity and its application
<b>Experience</b>	3	Has the ability to apply learned knowledge and skills to perform operations
<b>Know-how</b>	4	Has the ability to apply learned knowledge and skills to perform operations intuitively, efficiently and correctly

To be successful you will need a total score of not less than 41, a mean score in competencies A – E of not less than 2, no zeros, and a score not less than 3 in competence E2. **Every applicant must clearly demonstrate their ability to manage, apply and improve safe systems of work. Candidates who do not satisfy competence will not be recommended for registration.**



## Professional Review Interview

### After the interview

The interview panel will make one of three recommendations. These are: recommend for Chartered Engineer registration; defer with guidance regarding your submission; or not recommended. The panel are not able to advise you of their conclusions and recommendations until your application and review have been considered by the Membership Committee.

If you are successful, you will receive a letter and a certificate from the Institution's Chief Executive confirming your achievement. Your name will then be forwarded to the Engineering Council for Registration. Your name will appear in the next PWI Journal: January, April, July or October.

If your application is not successful, we will write to you and explain the reason for the decision. You will also be given some guidance as to how you may wish to address the concerns raised, in order to resubmit your papers at a later date.

Any applicant can request a copy of their interview paperwork and feedback. The PWI has an arbitration and appeals process, whereby applicants who are dissatisfied with the process may appeal within a given timeframe. All documentation will be made available to the Arbitration Panel for their consideration. More information about this process is available on request.

Professional Registration Fees - 2021	EngTech	IEng	CEng
Application Fee - New Registrant*	£60	£225	£225
Application Fee - Additional Membership	£40	£90	£90
<b>Annual Fees once you are professionally registered through the PWI</b>			
Annual EngC Fee**	£19.90	£34.70	£40.90
Professionally Registered Member	£86	£137	£137
Professionally Registered Fellow	£115	£182	£182

\* Includes Engineering Council Registration Entry Fee

\*\* The annual Engineering Council Registration Fee will be collected at the same time as your PWI subscription and will be paid to the Engineering Council on your behalf.

**Unfortunately we are unable to process your application until the fee has been received. All fees are non refundable. We expect any missing documentation or resubmissions to be received within six months of the feedback. Failure to do so means the application will be treated as withdrawn and the fee retained unless extenuating circumstances exist.**

BACS		Cheque enclosed	Card payment
<b>Account Name</b>	Permanent Way Institution	<b>Payable to</b> Permanent Way Institution	<b>Pay on line through our shop</b>
<b>Account No</b>	50712051	<b>Send to</b> PWI Central PO Box 12890, Brentwood, CM14 9RY	www.thepwi.org/shop/
<b>Sort Code</b>	20 07 89		<b>Or</b>
<b>Reference</b>	Your membership number and name	Please ensure your PWI membership number, full name and level applying for are written clearly on the reverse of the cheque.	<b>Telephone the Secretary on</b> +44 1277 230031 (option 1)

**Annex A** CEng Competence and Commitment Criteria

**Annex B** PWI Code of Professional Conduct



# COMPETENCE & COMMITMENT STATEMENTS



The Institution for Rail Infrastructure Engineers

Chartered Engineer (CEng)

The PWI competence and commitment criteria fully comply with UK-SPEC. The PWI require an enhanced focus on safety and candidates must demonstrate their absolute commitment to the application and continuous improvement of staff and system safety.

“A Permanent Way Engineer is one who supports and promotes the advancement of the design, construction and maintenance of railway infrastructure engineering.”

A	Use a combination of general and specialist engineering knowledge and understanding to optimise the application of existing and emerging technology in one or more Permanent Way engineering activity areas.	
A1	Maintain and extend a sound theoretical approach in enabling the introduction and exploitation of new and advancing technology.	
	This could include an ability to:	By, for example:
	<ul style="list-style-type: none"> <li>• Identify the limits of own personal knowledge and skills.</li> <li>• Strive to extend own technological capability.</li> <li>• Broaden and deepen own knowledge base through research and experimentation.</li> </ul>	<ul style="list-style-type: none"> <li>• Engaging in formal post-graduate academic study.</li> <li>• Learning and developing new engineering theories and techniques in the workplace.</li> <li>• Broadening your knowledge of Permanent Way and other railway engineering codes, standards and specifications.</li> <li>• Attending PWI and other related engineering meetings, conferences and seminars.</li> </ul>
A2	Engage in the creative and innovative development of engineering technology and continuous improvement systems.	
	This could include an ability to:	By, for example:
	<ul style="list-style-type: none"> <li>• Assess market needs and contribute to marketing strategies.</li> <li>• Identify constraints and exploit opportunities for the development and transfer of technology within own chosen field.</li> <li>• Promote new applications when appropriate.</li> <li>• Secure the necessary intellectual property rights.</li> <li>• Develop and evaluate continuous improvement systems.</li> </ul>	<ul style="list-style-type: none"> <li>• Leading/managing market research, and product and process research and development.</li> <li>• Leading the development of new engineering systems or services</li> <li>• Promoting the use of new technology to solve engineering problems or improve performance</li> <li>• Taking part in cross-disciplinary working, involving complex projects.</li> <li>• Conducting statistically sound appraisal of data.</li> <li>• Using evidence from best practice to improve effectiveness.</li> </ul>





<b>B</b>	<b>Apply appropriate theoretical and practical methods to the analysis and solution of engineering problems in one or more Permanent Way engineering activity areas.</b>	
<b>B1</b>	<b>Identify potential projects and opportunities.</b>	
	<b>This could include an ability to:</b>	<b>By, for example:</b>
	<ul style="list-style-type: none"> <li>Establish and help develop solutions to meet users' requirements.</li> <li>Consider and implement new and emerging technologies.</li> <li>Enhance engineering practices, products, processes, systems and services.</li> <li>Use own knowledge of the employer's position to assess the viability of opportunities.</li> </ul>	<ul style="list-style-type: none"> <li>Identifying opportunities for new engineering products, processes and systems.</li> <li>Involvement in the marketing of and tendering for new engineering products, processes and systems.</li> <li>Involvement in the specification and procurement of new engineering products, processes and systems.</li> <li>Setting targets, drafting programmes and action plans.</li> <li>Scheduling activities.</li> </ul>
<b>B2</b>	<b>Conduct appropriate research, and undertake design and development of engineering solutions.</b>	
	<b>This could include an ability to:</b>	<b>By, for example:</b>
	<ul style="list-style-type: none"> <li>Identify and agree appropriate research methodologies.</li> <li>Allocate and manage resources.</li> <li>Develop the necessary tests.</li> <li>Collect, analyse and evaluate the relevant data.</li> <li>Undertake engineering design.</li> <li>Prepare, present and agree design recommendations, with appropriate analysis of risk, and taking account of costs, quality, safety, reliability, appearance, fitness for purpose, security, intellectual property constraints and opportunities, and environmental impact.</li> </ul>	<ul style="list-style-type: none"> <li>Carrying out formal theoretical research.</li> <li>Carrying out applied research on the job.</li> <li>Leading/managing value engineering and whole life costing.</li> <li>Leading design teams.</li> <li>Drafting specifications.</li> <li>Developing and testing options.</li> <li>Identifying resources and costs of options.</li> <li>Producing concept designs, and developing these into detailed designs.</li> </ul>
<b>B3</b>	<b>Manage implementation of design solutions, and evaluate their effectiveness.</b>	
	<b>This could include an ability to:</b>	<b>By, for example:</b>
	<ul style="list-style-type: none"> <li>Ensure that the application of the design results in the appropriate practical outcome.</li> <li>Implement design solutions, taking account of critical constraints, including due concern for safety and sustainability.</li> <li>Determine the criteria for evaluating the design solutions.</li> <li>Evaluate the outcome against the original specification.</li> <li>Actively learn from feedback on results to improve future design solutions and build best practice.</li> </ul>	<ul style="list-style-type: none"> <li>Preparing and presenting reports on the evaluation of the effectiveness of the designs.</li> <li>Managing engineering products, processes, services or systems improvement.</li> <li>Interpreting and analysing the performance of engineering products, processes, services or systems.</li> <li>Determining critical success factors.</li> </ul>



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<b>C</b>	<b>Provide technical and commercial leadership in one or more Permanent Way engineering activity areas.</b>	
<b>C1</b>	<b>Plan for effective project implementation.</b>	
	<b>This could include an ability to:</b>	<b>By, for example:</b>
	<ul style="list-style-type: none"> <li>Systematically review the factors affecting the project implementation including safety and sustainability considerations.</li> <li>Define a holistic and systematic approach to risk identification, assessment and management.</li> <li>Lead on preparing and agreeing implementation plans and method statements.</li> <li>Ensure that the necessary resources are secured and brief the project team.</li> <li>Negotiate the necessary contractual arrangements with other stakeholders (client, subcontractors, suppliers, etc.).</li> </ul>	<ul style="list-style-type: none"> <li>Preparing project scopes or specifications</li> <li>Leading/managing project planning activities.</li> <li>Producing and implementing procurement plans.</li> <li>Carrying out project risk assessments.</li> <li>Collaborating with key stakeholders, and negotiating agreement to the plans.</li> <li>Planning programmes and delivery of tasks.</li> <li>Identifying resources and costs.</li> <li>Negotiating and agree contracts/work orders.</li> </ul>
<b>C2</b>	<b>Plan, budget, organise, direct and control tasks, people and resources.</b>	
	<b>This could include an ability to:</b>	<b>By, for example:</b>
	<ul style="list-style-type: none"> <li>Set up appropriate management systems.</li> <li>Define quality standards, programme and budget within legal and statutory requirements.</li> <li>Organise and lead work teams, coordinating project activities.</li> <li>Ensure that variations from quality standards, programme and budgets are identified and that corrective action is taken.</li> <li>Gather and evaluate feedback and recommend improvements.</li> </ul>	<ul style="list-style-type: none"> <li>Taking responsibility for and control of project operations.</li> <li>Managing the balance between quality, cost and time.</li> <li>Managing contingency systems.</li> <li>Managing project funding, payments and recovery.</li> <li>Satisfying legal and statutory obligations.</li> <li>Leading/managing tasks within identified financial, commercial and regulatory constraints.</li> </ul>
<b>C3</b>	<b>Lead teams and develop staff to meet changing technical and managerial needs.</b>	
	<b>This could include an ability to:</b>	<b>By, for example:</b>
	<ul style="list-style-type: none"> <li>Agree objectives and work plans with teams and individuals.</li> <li>Identify team and individual needs and plan for their development.</li> <li>Reinforce team commitment to professional standards.</li> <li>Lead and support team and individual development.</li> <li>Assess team and individual performance and provide feedback.</li> </ul>	<ul style="list-style-type: none"> <li>Setting the context, assigning tasks and reviewing the performance of team members</li> <li>Carrying out/contributing to staff appraisals.</li> <li>Planning/contributing to the training and development of staff.</li> <li>Gathering evidence from colleagues of the management, assessment and feedback that you have provided.</li> <li>Carrying out/contribute to disciplinary procedures.</li> </ul>



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<b>C4</b>	<b>Bring about continuous improvement through quality management.</b>	
	<b>This could include an ability to:</b>	<b>By, for example:</b>
	<ul style="list-style-type: none"> <li>Promote quality throughout the organisation and its customer and supplier networks.</li> <li>Develop and maintain operations to meet quality standards.</li> <li>Direct project evaluation and propose recommendations for improvement.</li> </ul>	<ul style="list-style-type: none"> <li>Identifying and applying appropriate quality standards</li> <li>Planning and implementing best practice methods of continuous improvement.</li> <li>Carrying out quality audits.</li> <li>Identifying, implementing and evaluating changes to meet quality objectives.</li> </ul>

<b>D</b>	<b>Demonstrate effective interpersonal skills.</b>	
<b>D1</b>	<b>Communicate in English with others at all levels.</b>	
	<b>This could include an ability to:</b>	<b>By, for example:</b>
	<ul style="list-style-type: none"> <li>Lead, chair, contribute to and record meetings and discussions.</li> <li>Prepare communications, documents and reports on complex matters.</li> <li>Exchange information and provide advice to technical and non-technical colleagues.</li> </ul>	<ul style="list-style-type: none"> <li>Planning, scheduling and chairing meetings</li> <li>Preparing reports, minutes of meetings, letters, programmes, drawings, specifications.</li> <li>Reviewing and providing feedback on the work of others</li> </ul>
<b>D2</b>	<b>Present and discuss proposals.</b>	
	<b>This could include an ability to:</b>	<b>By, for example:</b>
	<ul style="list-style-type: none"> <li>Prepare and deliver presentations on strategic matters.</li> <li>Lead and sustain debates with audiences.</li> <li>Feed the results back to improve the proposals.</li> <li>Raise the awareness of risk.</li> </ul>	<ul style="list-style-type: none"> <li>Preparing and delivering presentations, records of discussions and their outcomes.</li> <li>Responding to tender invitations and presenting engineering proposals</li> <li>Negotiating successful outcomes to technical, commercial or social problems.</li> </ul>
<b>D3</b>	<b>Demonstrate personal and social skills.</b>	
	<b>This could include an ability to:</b>	<b>By, for example:</b>
	<ul style="list-style-type: none"> <li>Know and manage own emotions, strengths and weaknesses.</li> <li>Be aware of the needs and concerns of others, especially where related to diversity and equality.</li> <li>Be confident and flexible in dealing with new and changing interpersonal situations.</li> <li>Identify, agree and lead work towards collective goals.</li> <li>Create, maintain and enhance productive working relationships and resolve conflicts.</li> </ul>	<ul style="list-style-type: none"> <li>Keeping records of meetings.</li> <li>Gathering evidence from colleagues of your personal and social skills.</li> <li>Compiling feedback from your performance or development reviews</li> <li>Taking responsibility for productive working relationships.</li> <li>Applying diversity and anti-discrimination legislation.</li> </ul>



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E	Demonstrate a personal commitment to professional standards <b>and safety</b> recognising obligations to society, the profession and the environment.	
E1	Comply with relevant codes of conduct.	
	This could include an ability to:	By, for example:
	<ul style="list-style-type: none"> <li>Comply with the rules of professional conduct of PWI and any other relevant institution.</li> <li>Lead work within all relevant legislation and regulatory frameworks, including social and employment legislation.</li> </ul>	<ul style="list-style-type: none"> <li>Contributing to the affairs of the PWI.</li> <li>Working with a variety of conditions of contract.</li> <li>Working within company codes of conduct.</li> </ul>
E2	Manage, apply <b>and improve</b> safe systems of work.	
	This <b>must</b> include an ability to:	By, for example:
	<ul style="list-style-type: none"> <li><b>Proactively improve safety at every opportunity.</b></li> <li>Identify and take responsibility for own obligations for health, safety and welfare issues.</li> <li>Ensure that systems satisfy health, safety and welfare requirements.</li> <li>Develop and implement appropriate hazard identification and risk management systems and culture.</li> <li>Manage, evaluate and improve these systems.</li> <li>Apply a sound knowledge of health and safety legislation.</li> <li><b>Lead teams and develop staff to deliver continuous improvement in safety.</b></li> </ul>	<ul style="list-style-type: none"> <li><b>Specifying safe systems of work.</b></li> <li><b>Putting safety first during the design, construction, operation and maintenance of equipment and assets.</b></li> <li><b>Sharing knowledge, findings and experiences with the supply chain and industry.</b></li> <li><b>Leading the industry in terms of innovating and implementing with new safety related technology.</b></li> <li><b>Identifying and challenging unsafe activities, assets or equipment.</b></li> <li>Undertaking formal health and safety training.</li> <li>Working with health and safety legislation, Railway Group and Line standards, company safety policies and best practice.</li> <li>Carrying out safety audits.</li> <li>Identifying and minimising hazards.</li> <li>Assessing and controlling risks.</li> <li>Evaluating costs and benefits of safe working.</li> <li>Delivering strategic health and safety briefings and inductions.</li> <li><b>Assessing teams' performance on safety behaviours and work to improve it.</b></li> <li><b>Demonstrating a leadership commitment to safety, with clear expectations and success measures.</b></li> </ul>



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E3	Undertake engineering activities in a way that contributes to sustainable development.	
	This could include an ability to:	By, for example:
	<ul style="list-style-type: none"> <li>Operate and act responsibly, taking account of the need to progress environmental, social and economic outcomes simultaneously.</li> <li>Use imagination, creativity and innovation to provide products and services which maintain and enhance the quality of the environment and community, and meet financial objectives.</li> <li>Understand and secure stakeholder involvement in sustainable development.</li> <li>Use resources efficiently and effectively.</li> </ul>	<ul style="list-style-type: none"> <li>Carrying out environmental risk and/or impact assessments.</li> <li>Planning and implementing best practice environmental management systems.</li> <li>Working within environmental legislation.</li> <li>Adopting sustainable practices.</li> <li>Achieving positive social, economic and environmental outcomes.</li> </ul>
E4	Carry out and record CPD necessary to maintain and enhance competence in own area of practice.	
	This could include an ability to:	By, for example:
	<ul style="list-style-type: none"> <li>Undertake reviews of own development needs.</li> <li>Plan how to meet personal and organisational objectives.</li> <li>Carry out planned (and unplanned) CPD activities.</li> <li>Maintain evidence of competence development.</li> <li>Evaluate CPD outcomes against any plans made.</li> <li>Assist others with their own CPD.</li> </ul>	<ul style="list-style-type: none"> <li>Keeping up to date with national and international railway engineering issues.</li> <li>Setting personal CPD objectives</li> <li>Maintaining CPD plans and records.</li> <li>Involvement in the affairs of the PWI.</li> <li>Evidence of your development through on-the-job learning, private study, work based and external meetings, courses, PWI and other related institutions' technical seminars and conferences.</li> </ul>
E5	Exercise responsibilities in an ethical manner.	
	This could include an ability to:	By, for example:
	<ul style="list-style-type: none"> <li>Demonstrate achievement of high ideals of professional life.</li> </ul>	<ul style="list-style-type: none"> <li>The application of accuracy and rigour.</li> <li>Demonstrable honesty and integrity.</li> <li>Showing respect for life, law and public good.</li> <li>Practicing responsible leadership: listening and informing.</li> </ul>



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# CODE OF PROFESSIONAL CONDUCT



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## 1. Introduction

This Code of Professional Conduct, which applies to all members, has been developed to provide guidance and information on ethical standards of behaviour that the Board of Directors expects from members of the professional body that is the Permanent Way Institution.

The intent of this document is to support members to take an ethical stance when balancing the potentially conflicting interests of employers, society and environment. It guides members on how to meet the standard of professional conduct required by the Permanent Way Institution and the Engineering Council. Contravention of this Code of Professional Conduct by a member can lead to disciplinary action.

All members of the Permanent Way Institution have an overriding responsibility for the public good, including the health and wellbeing of both present and future generations. When undertaking their duties members should show due respect for the environment and sustainable management of natural resources.

## 2. Professional Conduct

The basic principles upon which the Code of Professional Conduct has been developed are that members shall;

- 2.1 Observe the provisions of the Institution's governing document and supporting rules and regulations.
- 2.2 Demonstrate excellence in equality, diversity and inclusion in all that they do and influence others in the high standards that they set.
- 2.3 At all times conduct themselves so as to uphold the dignity and reputation of our profession.
- 2.4 Exercise professional skill and judgement to the best of their ability and shall discharge their responsibilities and duties with integrity and fairness.
- 2.5 Prevent avoidable danger to health & safety and the well-being of future generations.
- 2.6 Act in accordance with the principles of sustainability and prevent avoidable adverse impact on the environment and society.
- 2.7 Be responsible for developing their professional knowledge and skills through the application of continuing professional development for themselves as well as development of other members.



### **3. Dignity and reputation of our profession**

- 3.1 Members shall act with due skill, care and diligence and with proper regard for professional standards.
- 3.2 Members shall actively promote public awareness and understanding of the impact and benefits of engineering and technology achievements.
- 3.3 Members shall treat all persons fairly and with respect
- 3.4 Members shall exemplify professional behaviour generally and specifically in their relationships with the Institution, its employees and their fellow members.
- 3.5 Members shall not without proper authority disclose any confidential information concerning the business of their employer or any past employer.
- 3.6 Members shall raise any concern, either within the workplace or externally, about a danger, inadequately quantified or managed risk, malpractice or wrongdoing which affects others. Any such concern shall be reported to their employer or manager. If this does not address the concern, they should be aware and make use of existing company and industry sector regulatory reporting systems.
- 3.7 Members shall advise the Permanent Way Institution of any significant breach of the Code of Professional Conduct by another member.

### **4. Act with due skill, care and diligence**

- 4.1 Members shall only undertake tasks and responsibilities that they are competent to discharge and will disclose relevant limitations of competence.
- 4.2 Members shall accept personal responsibility for all work done by themselves or under their supervision or direction. Members shall also take all reasonable steps to ensure that those working under their authority are both suitably equipped and competent to carry out the tasks assigned to them.
- 4.3 Members will observe the proper duties of confidentiality owed to appropriate parties
- 4.4 Members who are called upon to give an opinion in their professional capacity shall give an opinion that is objective and based upon the best available knowledge and information.
- 4.5 Members will conduct themselves in accordance with the principle that in any conflict between a member's personal interest and fair and honest dealing with other members of the community, his duty to the community shall prevail.
- 4.6 Members whose professional advice is not accepted shall take all reasonable steps to ensure that the person overruling or neglecting that advice is aware of any danger or loss



which may ensue and, in appropriate cases, inform that person's employers of the potential risks involved.

- 4.7 Members will assess relevant liability and, if appropriate, hold professional indemnity insurance.
- 4.8 Members shall inform their employer in writing on any conflict or potential conflict that may exist or arise between their personal interests and the interests of their employer.
- 4.9 Members shall reject bribery and all forms of corrupt behaviour and will make positive efforts to ensure that others do likewise.
- 4.10 Members shall:
  - 4.10.1 Advise the Permanent Way Institution if convicted of a criminal offence;
  - 4.10.2 Advise the Permanent Way Institution upon becoming bankrupt or disqualified as a Company Director.
  - 4.10.3 Advise the Permanent Way Institution if their membership of another professional body is terminated as a result of disciplinary action.

## 5. Developing professional knowledge and skills

- 5.1 PWI members are required to maintain and develop their professional competence and support the development of others. It helps to demonstrate, to the wider engineering community and to the public, the PWI's continued competence, high safety levels and professionalism.
- 5.2 Professionally registered PWI engineers must complete and record CPD on an annual basis to abide by the CPD Code for Registrants as detailed in UK-SPEC.
- 5.3 Each year, the PWI will randomly select a number of its members and ask them to submit a record of their CPD for the past 12 months, including an element of reflection on each activity undertaken. There is no prescribed format in which returns should be made.
- 5.4 Following a submission, members will receive valuable feedback which will enhance their professional development. Where submissions do not show evidence of appropriate CPD or reflection, support will be offered. The PWI's Registration Policies and Procedures allow for this process to take up to three months from the initial request.
- 5.5 Submission on request is mandatory for those members who are professionally registered through the PWI. From January 2020, a registrant who persistently does not respond to or engage with requests to submit CPD records will be removed from the Engineering Council's Register of Engineers for non-compliance. The PWI will provide the Engineering Council with a list of members removed from the Register for non-compliance and this will be shared with other Professional Engineering Institutions.



## **6. Health, safety and security**

- 6.1 Members shall take care to ensure that their work and the products of their work will not present avoidable risks to the health and safety of others.
- 6.2 Members shall take care to ensure that the work and the products of the work of those working under their supervision or general direction will not present avoidable risks to the health and safety of others.
- 6.3 Adopt a security-minded approach to their professional and personal life
- 6.4 Ensure good security-minded communications
- 6.5 Understand, comply with and seek to improve systems for security governance

## **7. Sustainable management and the environment**

- 7.1 Members shall act in accordance with environmental good practice to prevent avoidable adverse impact on the environment.
- 7.2 Members shall act in accordance with the sustainability principle of meeting the needs of the present without compromising the ability of future generations to meet their own needs.

## **8. Advertising and publicity**

- 8.1 Members shall not advertise or write articles for publication in any manner that is derogatory either to the Permanent Way Institution or to the dignity of their profession. Nor shall they authorise any such article to be written or published by others.
- 8.2 Members shall not make any public statement in their professional capacity without ensuring that they are competent to make such a statement.

## **9. Disciplinary action**

- 9.1 In the event that a member fails to observe the Code of Professional Conduct of the Permanent Way Institution, they may become subject to disciplinary action under the PWI Discipline Code
- 9.2 In the event that a member has their membership of another professional body terminated as a result of disciplinary action, they may become subject to disciplinary action under the PWI Discipline Code.