1. **GENERAL**

1.1 The panel structure is an essential element of the operation of the Reservoirs Act 1975. Appointments to the panels are made by the Secretary of State for Environment, Food and Rural Affairs after consultation with the Institution of Civil Engineers. The objective of the legislation is to ensure the safety of large raised reservoirs.

1.2 The term “Qualified” in the Act does not refer to membership of the Institution of Civil Engineers or of any other professional body; application is open to any civil engineer. Though active involvement in design and construction is important, regard must be paid to a sense of professional responsibility which must reinforce technical competence. As guidance, all applicants should normally be prepared to demonstrate that their general experience of civil engineering would be sufficient to gain them Chartered Civil Engineer or equivalent status. A recognised academic civil engineering qualification (which may not immediately lead to chartered status) together with appropriate practical experience may allow a candidate to be considered for the Supervising Engineers’ Panel. However, such candidates will be required to demonstrate the adequacy of their civil engineering background. Where a candidate is not appropriately qualified by a professional body, the candidate will need to be able to demonstrate a personal commitment to the professional standards which membership of such a professional body would entail, including the recognition of obligations to society and the civil engineering profession. As further guidance, applicants for the panels of inspecting engineers (All Reservoirs, Non-Impounding Reservoirs and Service Reservoirs) would normally be expected to have the experience and seniority comparable with that of a Fellow of the Institution of Civil Engineers or equivalent.

1.3 The difference between panels is based on function, and not related to an implicit assumption of career progression. Nevertheless, the priority order of panels cannot be entirely divorced from a scale of technical competence.

1.4 An applicant for appointment to a panel should be a mature person with experience appropriate for that panel. However, not all applicants can be expected to have had personal experience in and responsibility for all forms of dam and reservoir construction. This need not be a bar to appointment. Part of the test of maturity is that the applicant recognises that it would be inappropriate to accept responsibility for work that lies outside the range of their personal experience and competence.

1.5 All applicants for appointment or reappointment should be aware that the duties of a panel engineer are frequently physically and intellectually demanding. Applicants should be confident that, if appointed or reappointed, 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.

1.6 All applicants must clearly understand that the sole reason for appointment to any panel is for the purposes of the Reservoirs Act 1975. Applicants shall be able to show appropriate experience in reservoir inspection or construction in the UK. Recent practical experience should relate to a selection from reservoir design, construction supervision, inspection and/or supervision during service, as appropriate for the relevant panel. An applicant shall possess a reasonable knowledge of the Act and the Statutory Instruments.

1.7 Applicants should ensure that they have the requisite knowledge and training relating to health and safety, including the Construction Design and Management Regulations.
Applicants for appointment to inspecting engineer panels (AR, NIR, SR), and all Supervising Engineers whose responsibilities require them to enter confined spaces, shall have a valid certificate for entering confined spaces. All Supervising Engineers who do not require a valid certificate for entering confined spaces shall have received appropriate confined spaces awareness training. Detailed guidance on health and safety matters is contained in Part D of ‘A Guide to the Reservoirs Act 1975’. All applicants for appointment and reappointment who are required to have a valid certificate for entering confined spaces shall include a copy of their current certificate with their application or provide an explanation in their application as to why such a certificate is not required.

1.8 In the case of applications for first appointment to a panel, the application is first subject to assessment by each member of the Reservoirs Committee of the Institution of Civil Engineers. In the case of applications for reappointment, the application is first subject to assessment by each member of one of the sub-committees of the Reservoirs Committee unless the application has been submitted after the expiry date of the applicant's previous appointment, in which case it will be subject to assessment by all members of the Reservoirs Committee. As part of the assessment process, members of the Reservoirs Committee assessing the applications for appointment and reappointment complete standard assessment forms covering the following key aspects: the Reservoirs Act 1975, experience/knowledge of reservoir engineering, health and safety training, and in the case of applicants for reappointment, the level of recent activity shown and the level of continuing professional development. Copies of the assessment forms are shown in the annex to this guidance.

1.9 It is the usual practice for applicants for first appointment to be invited to attend an interview with members of one of the sub-committees of the Reservoirs Committee in order to assess their suitability for appointment. Members of the interview panel are provided with copies of the Reservoir Committee’s assessment, so that any particular areas of weakness or concern identified by Committee members may be covered at the interview. The interviews are conducted in an informal, friendly atmosphere, to ensure, as far as possible, that applicants can give of their best. The interview panel will seek to establish the extent of the applicant's knowledge of the Reservoirs Act 1975 and the Statutory Instruments, of current guidance relating to reservoir safety, and of health and safety issues; the extent of the applicant's experience of reservoir work and understanding of the factors affecting reservoir safety.

1.10 The interview panel will be informed if the applicant has made a previous unsuccessful application for appointment or reappointment to the panel for which the applicant is now applying. The interview panel will be informed of the grounds on which the decision not to appoint or reappoint was made and of any advice given to the applicant in relation to the previous application for appointment or reappointment.

1.11 At the conclusion of the interview, each member of the interview panel will complete a ‘competence matrix’ form for the applicant who has just been interviewed. Copies of the ‘competence matrix’ forms are shown in the annex to this guidance. After the interview panel has discussed the applicant’s performance at the interview, and reached a collective view on the applicant's suitability for appointment, taking into account the markings on each of the competence matrix forms, the interview panel will report its findings to the full Reservoirs Committee, which will then decide upon the advice to be given to the Secretary of State regarding the application for appointment.

1.12 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, e.g. further details of health and safety training undertaken. In considering an application for reappointment, the Reservoirs Committee will take account of the application, the reports of the interview panel and any additional information that the Committee has asked the applicant to provide. The Reservoirs Committee and the interview panel may also, in exceptional circumstances, take account of or seek information from third parties concerning the applicant’s performance in relation to his current or previous period of appointment. In this event, the applicant will be informed. In the case of application for reappointment to any of the Panels, the Committee will ask the
relevant Enforcement Authority for any information available regarding the period taken for submission of reports, statements or other relevant information concerning the applicant. The Reservoirs Committee will also be informed of grounds on which any previous decision not to appoint or reappoint was made, and the Committee will be informed of any advice given to the applicant in relation to any previous application for appointment or reappointment.

1.13 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 the advice to the Secretary of State that the applicant should not be appointed will be made solely on the Committee’s assessment of the application.

1.14 Applicants for reappointment to panels of which they are already members will be invited to attend interview if their applications or any information received from third parties reveal deficiencies or weaknesses that the Reservoirs Committee considers should be resolved by interview. Applicants for reappointment to panels of which they have been members, but where their appointment expired prior to the date of submission of their reapplication, will normally be invited to attend interview. In most other cases, applicants for reappointment will not be interviewed and the Committee’s advice to the Secretary of State will be made on the basis of their assessment of the application.

1.15 However, applicants for reappointment who have not been interviewed by the Reservoirs Committee in connection with their preceding, or earlier applications, may well be invited to attend an interview to ensure that their knowledge and experience continue to be of a satisfactory standard.

1.16 All applicants for reappointment who are invited for interview will be asked to bring two statutory reports or 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. As with the interviews for applicants for first appointment, the interview panel will complete a ‘competence matrix’ form for each applicant for reappointment who has been interviewed.

1.17 All enquiries about recommendations from the Reservoirs Committee regarding applications for appointment or reappointment to panels or any other advice from the Reservoirs Committee to the Secretary of State regarding appointments to panels will be directed to the Secretary of State.

1.18 Applicants for appointment and reappointment must take all reasonable steps to ensure that the information provided in their applications is complete and accurate and in no way misleading. If an application from a member of the Institution of Civil Engineers is found to contain incomplete, incorrect or misleading information for which there is no satisfactory explanation, this may be referred to the Institution to consider whether disciplinary proceedings against the member are appropriate. Similar action may be taken in relation to other professional bodies of which the applicant is a member.

1.19 All applicants who, following due process, are not appointed or re-appointed to the Panel are strongly advised not to submit a new application within a period, generally recommended to be 12 months, from the date of the letter from the Secretary of State advising the applicant of the decision.

2. GUIDANCE ON APPLICATIONS FOR APPOINTMENT TO PANELS

2.1. All Reservoirs Panel (AR)

(i) Members are civil engineers qualified to design and supervise the construction and alteration of, to inspect and report upon, to act as supervising engineers and to act as
referees under Section 19 and for the purposes of Section 16 of the Act for all reservoirs to which the Act applies.

(ii) While an applicant should have experience in design, supervision of construction and inspection, most work in this country is now confined to the last function and an applicant could be recommended for appointment provided the applicant has a sound knowledge of the first two, as well as experience in the third.

(iii) While applicants for the AR Panel will not be expected to be expert in all forms of dam construction, nevertheless an embankment dam expert should be able to show some familiarity with design of concrete structures. Similarly, a concrete dam expert could be expected to have a reasonable knowledge of soil mechanics and of earth embankments. Narrow experience confined to a very small number of dams of relatively unusual construction (e.g. concrete arch or rock fill) would probably be insufficient to justify recommendation for appointment. Furthermore, familiarity with reinforced concrete, water-retaining structures, geology, foundations, hydraulics, valves, pipe work, gates and other pertinent disciplines will be required.

(iv) Applicants may have particular expertise in a specialist field (e.g. soil mechanics) but without having had overall experience or responsibility for design, construction or inspection. However well qualified in such a speciality, appointment to the AR Panel would not be justified.

(v) Applicants with mostly overseas experience must be able to demonstrate familiarity with UK hydrological conditions and design parameters.

(vi) In addition to the above, it is essential that applicants shall have had experience of at least ten inspections under Section 10 of the Act, and shall have produced at least five ‘dummy’ S10 reports.

(vii) Applicants must be able to demonstrate adequate reservoir safety-related Continuing Professional Development (CPD) during the five-year period prior to applying for appointment (see also paragraph 3.2). It is a recommended component of pre-application preparation that applicants should have attended at least one biennial British Dam Society (BDS) Conference. Additionally, it is recommended that applicants should also have attended, or accessed via the BDS website, at least five BDS evening meetings. The Reservoirs Committee will not be convinced that applicants are qualified for appointment unless they have undertaken and/or demonstrated adequate pre-application CPD.

2.2 Non Impounding Reservoirs Panel (NIR)

(i) Members are civil engineers who are qualified to design and to supervise the construction and alteration of, to inspect and report upon and to act for the purposes of Section 16 on all reservoirs to which the Act applies which are non-impounding reservoirs and to act as Supervising Engineers for all reservoirs to which the Act applies.

(ii) Non-Impounding Reservoirs Panel Engineers are expected to demonstrate the same knowledge as All Reservoir Panel Engineers except on aspects relating to floods and overflows.

(iii) Applicants should be able to demonstrate adequate knowledge of soil mechanics, stability analysis, etc, as many non-impounding reservoirs are of earth bank construction. However, they should also have an adequate knowledge of service reservoir construction in accordance with the section below. Applicants would not be expected to display significant hydrological experience or detailed knowledge of hydraulic design of spillway gates, stilling basins, etc. Applicants must be able to demonstrate adequate reservoir safety-related Continuing Professional Development (CPD) during the five-year period prior to applying for appointment (see also paragraph 3.2). It is a recommended component of pre-application preparation that applicants should have attended at least one biennial British Dam Society (BDS) Conference. Additionally, it is recommended that
applicants should also have attended, or accessed via the BDS website, at least five BDS evening meetings. The Reservoirs Committee will not be convinced that applicants are qualified for appointment unless they have undertaken and/or demonstrated adequate pre-application CPD.

2.3. Service Reservoirs Panel (SR)

(i) Members are civil engineers qualified to design and supervise the construction and alteration of, to inspect and report upon and to act for the purposes of Section 16 on all reservoirs to which the Act applies which are not impounding reservoirs and which are constructed of brickwork, masonry, concrete or reinforced concrete and to act as Supervising Engineers for all reservoirs to which the Act applies.

(ii) All applicants for the Service Reservoirs Panel are expected to demonstrate the same knowledge as that required of a Supervising Engineer. Paragraph 1.4 also refers.

(iii) The essential requirement for appointment to this panel is thorough and detailed knowledge of the theory of design of reinforced concrete water retaining structures and a reasonable amount of personal design and construction experience, followed by increasing levels of responsibility for design of water retaining structures. The size of the structures is of less importance than the depth and length of experience, and although all applicants can not be expected to have worked on service reservoirs with volumes in excess of 25,000 cubic metres, nevertheless some of the reservoirs for which the applicant has had responsibility should be of a reasonable size - say 10,000 cubic metres or so. Not all applicants can be expected to have had experience of inspecting service reservoirs under the Act; nevertheless, they will be expected to demonstrate knowledge of what to look for in an inspection and to be aware of up-to-date methods of dealing with common defects such as repair of leaking joints, deteriorating concrete, masonry and brickwork.

(iv) Applicants must be able to demonstrate adequate reservoir safety-related Continuing Professional Development (CPD) during the five-year period prior to applying for appointment (see also paragraph 3.2). It is a recommended component of pre-application preparation that applicants should have attended at least one biennial British Dam Society (BDS) Conference. Additionally, it is recommended that applicants should also have attended, or accessed via the BDS website, at least five BDS evening meetings. The Reservoirs Committee will not be convinced that applicants are qualified for appointment unless they have undertaken and/or demonstrated adequate pre-application CPD.

2.4. Supervising Engineers’ Panel (SupE)

(i) Members are civil engineers responsible for the supervision of large raised reservoirs between statutory inspections carried out under the Act.

(ii) A successful applicant should show the necessary maturity of judgement, technical and administrative competence that would enable the applicant to decide when an inspection is required and the frequency with which the applicant would visit a reservoir. Applicants should have obtained about five years’ experience and have been in positions of responsibility in the design or construction or operational supervision for significant periods on reservoirs to which the Act applies. This should also include experience of a number of inspections under Section 10 of the Act and statements under Section 12 of the Act. As an indication, applicants would be expected to have experienced in the order of five S10 inspections and ten S12 statements, although these numbers are not prescriptive and quality and variety are as important as quantity. Applicants should also have had experience of producing ‘dummy’ S12 statements.

(iii) Although five years’ experience on reservoirs work is highly desirable, the quality, depth and nature of experience is more important than the length. A lack of reservoirs experience may be partially offset by attendance at an appropriate training course for Supervising Engineers.
(iv) Applicants for first appointment must be able to demonstrate adequate reservoir safety related Continuing Professional Development (CPD) during the five year period prior to applying for appointment (see also paragraph 3.2). It is a recommended component of pre-application preparation that applicants should have attended at least one Supervising Engineers’ Forum, or one biennial British Dam Society (BDS) Conference. Additionally, it is recommended that applicants should also have attended, or accessed via the BDS website, at least five BDS evening meetings. Applicants who have not undertaken adequate and/or demonstrated pre-application CPD will not convince the Reservoirs Committee that they are qualified for appointment.

(v) Very recent reservoir experience need not be a pre-requisite to appointment. Where an applicant’s association with reservoir work has been early in the applicant’s career and the applicant’s experience though useful is otherwise limited, the Reservoirs Committee’s advice to the Secretary of State may be that the applicant should not be appointed. However, if the applicant were to satisfactorily complete an appropriate training course, this might provide sufficient evidence for the Reservoirs Committee to be able to advise that the applicant should be appointed.

3. GUIDANCE ON APPLICATIONS FOR REAPPOINTMENT TO PANELS

3.1 The purpose of Reappointment to a Panel

(i) All applicants for reappointment must understand that reappointment to any panel is solely for the purposes of the Reservoirs Act 1975. An applicant who has insufficient knowledge or experience of current UK practice will not be reappointed.

3.2 The requirement for Continuing Professional Development

(i) Applicants for reappointment must show a broadening and updating of their knowledge since appointment by means of a detailed record of continuing professional development (CPD) (see paragraph 3.2(ii)) together with evidence of practical experience and involvement in duties under the Act. Applicants must also demonstrate satisfactory, competent and reasonable actions in the performance of their duties under the Act with regard to owners, constructors and enforcement authorities.

(ii) Detailed guidance about CPD for panel engineers is contained in Part D of ‘A guide to the Reservoirs Act 1975’. The most recent guidance from the Institution of Civil Engineers on the CPD requirements for its members is shown in document ICE 3006, which may be downloaded from the ICE website.

(iii) A principal source of reservoir safety related CPD for panel engineers is the British Dam Society (BDS) whose activities and publications can provide much of what is required, through, for example:

- The journal Dams & Reservoirs
- The biennial conference
- The Supervising Engineers’ Forum
- Evening meetings in London and the regions (those not able to attend BDS evening meetings should access these via the BDS website).

(iv) Other sources of relevant information are the publications of ICE and ICOLD. A series of Engineering Guides has been published by ICE, CIRIA and BRE, as well as those obtainable directly from DEFRA. The preparation of the guides and reports, and the underlying work on which they are based, have received support from the DEFRA Reservoir Safety Research Programme. The following are some of the more important guides and reports:
3.3 Inspecting Engineers – outstanding inspection reports

(i) Where applications for reappointment are received from inspecting engineers, the Reservoirs Committee will request the relevant Enforcement Authority to provide details of all outstanding inspection reports and will require applicants to provide a list of all inspections, both past and current, together with their dates.

(ii) Where an inspecting engineer has failed to submit inspection reports “as soon as is practicable” (Section 10(3) of the Act), i.e. within six months of the date of the inspection (see ‘A guide to the Reservoirs Act 1975’), and the reports have been outstanding for over a year, the inspecting engineer will normally be required to attend an interview by members of the Reservoirs Committee. If the inspecting engineer is not able to provide a satisfactory explanation for the delay in submitting the reports concerned, and is not able to satisfy the Reservoirs Committee that similar instances will not recur if he/she is reappointed, the Committee is unlikely to advise the Secretary of State that the inspecting engineer should be reappointed.

4. SUBMITTING APPLICATIONS FOR APPOINTMENT AND REAPPOINTMENT TO PANELS

4.1 Applications by a civil engineer to be appointed or reappointed to a panel shall be submitted to the Secretary of State for Environment, Food and Rural Affairs in accordance with the requirements of the appropriate Statutory Instrument.

The application shall contain the following information:

1. The applicant’s full name, address and date of birth.
2. Where the application is for reappointment, 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, 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. Where the application is for reappointment, particulars of all such work carried out since appointment to the panel or within the last five years shall be provided.

Although not required by the Statutory Instrument concerned, it would also be useful if the application also contained details of the expiry date of any current panel appointment, and of the applicant’s out-of-hours telephone number.

4.2 Applicants for reappointment to any Panel should ensure that their application is registered with the Secretary of State for Environment, Food and Rural Affairs 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 Secretary of State and the Reservoirs Committee and the applicant’s current appointment may expire prior to any reappointment.

4.3 In the case of an application for a first appointment to any particular Panel, or for reappointment to a Panel where the previous appointment expired more than 12 months prior to the date of the applicant’s resubmission for appointment, the application must be accompanied by a reference from a chartered civil engineer as to the suitability of the applicant for appointment or reappointment. This reference should be from a chartered civil 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. Ideally, therefore, the reference should be from an existing panel engineer, preferably an inspecting engineer. The reference shall state clearly how long the civil engineer has known the applicant, and the extent to which the civil engineer is familiar with the applicant’s work. In the event that an applicant submits more than one such reference, he or she will be informed that only one reference is permitted and invited to select which reference to retain in the application, the other references to be discarded. Both the applicant and the civil engineer providing the reference shall ensure that the reference is truthful, accurate and in no way misleading (see also paragraph 1.18). In this context members of the Institution of Civil Engineers shall be mindful of the provisions of the Institution’s Code of Professional Conduct regarding the requirement to act with integrity.

4.4 The information provided by an applicant shall indicate clearly the exact 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.
Dates of amendment

20 October 2004
20 April 2005
19 April 2006
19 July 2006
18 October 2006
23 April 2008
15 October 2008
4 January 2010
21 July 2010
2 February 2011
21 May 2013
### Annex A -1

THE INSTITUTION OF CIVIL ENGINEERS  
INSTITUTION COMMITTEE UNDER THE RESERVOIRS ACT 1975  

RECORD OF ASSESSMENT OF APPLICATION FOR FIRST OR NEW APPOINTMENT

<table>
<thead>
<tr>
<th>Name:</th>
<th>Present Panel:</th>
<th>Panel applied for:</th>
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**N.B. PLEASE COMPLETE ALL RELEVANT BOXES AND INCLUDE COMMENTS IN FULL, PARTICULARLY RELATING TO ANY DEFICIENCIES IN THE APPLICATION**

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<thead>
<tr>
<th>Activity</th>
<th>Marking</th>
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<tbody>
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<td>Reservoirs Act</td>
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<td>• Training or Previous Experience</td>
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<td>• Attendance at Inspections and assisting in preparation of reports etc</td>
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<td>Experience/Knowledge of reservoir engineering</td>
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<td>New Applicants</td>
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<td>• Repairs</td>
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<td>• Floods and Reservoir Safety</td>
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<td>• Hydrology (AR)</td>
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**Health and Safety Training**

- Confined Spaces  
  (or explanation of non-requirement)
- Other site safety training

**Key:**  
S: Satisfactory  
C: Concern  
NS: Not Satisfactory  
NI: No information provided

**Any Other Concerns**

<table>
<thead>
<tr>
<th>Recommendations:</th>
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<th>Reject/Interview</th>
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<td>Observations:</td>
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Signature: ................................................. Date: ...........................................
APPLICATION FOR RE-APPOINTMENT TO PANELS - RECORD OF ASSESSMENT

Name: 
Present Panel: 

N.B. PLEASE COMPLETE ALL RELEVANT BOXES AND INCLUDE COMMENTS IN FULL, PARTICULARLY RELATING TO ANY DEFICIENCIES IN THE APPLICATION

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<td>Re-appointments</td>
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<td>• Recent Activity</td>
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<td>• CPD (keeping up to date with guides and issues by attending Panel Forums, presentations on guides, reading etc)</td>
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| Experience/Knowledge of reservoir engineering | | | | |
| New Applicants | | | | |
| • Monitoring | | | | |
| • Maintenance | | | | |
| • Repairs | | | | |
| • Floods and Reservoir Safety | | | | |
| • Design (AR/NIR/SR) | | | | |
| • Supervision of Construction (AR/NIR/SR) | | | | |
| • Hydrology (AR) | | | | |

| Re-appointments | | | | |
| • Recent Activity | | | | |
| • CPD (BDS, attendance at conferences and congresses, presentations, training sessions, reading etc) | | | | |

| Health and Safety Training | | | | |
| • Confined Spaces (or explanation of non-requirement) | | | | |
| • Other site safety training | | | | |

Key: S Satisfactory C Concern NS Not Satisfactory NI No information provided

Any Other Concerns

Recommendations: Approve/Reject/Doubtful Interview Y/N
Observations: