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Module 01

Roles, responsibilities and accountabilities

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1 Purpose

This module forms part of NR/L2/INI/02009 Engineering Management for Projects. It describes the responsibilities and accountabilities aligned to Authority to Work (AtW) engineering roles, at Function / Region / Programme levels, regarding:

- a) appointment of individuals to specified AtW roles;
- b) the process to be followed by individuals responsible for making key appointments.

Note: AtW, applied to engineering management, is a Network Rail process used to demonstrate that suitably qualified and experienced personnel are appointed to key engineering roles considered to be critical to safety. These roles are summarised in clause 2 below.

2 Scope

This module describes the requirements for the appointment of individuals undertaking engineering management roles for, and on behalf of, Network Rail and other organisations delivering projects on, above, below and adjacent to Network Rail infrastructure. It also contains guidance designed to assist individuals when making key appointments.

This module applies to the following roles:

	Role	Category
a)	Senior Engineer (SE)	Function / Region / Programme
b)	Lead Discipline Engineer (LDE)	
c)	Discipline Manager (DM)	
d)	Director, Contracts and Procurement (DCaP)	
e)	Project Manager (PM)	
f)	Departmental Engineering Manager (DEM)	
g)	Designated Project Engineer (DPE)	
h)	Project Engineer (PE)	
i)	Contractor's Engineering Manager (CEM)	
j)	Contractor's Responsible Engineer (CRE)	

Table 1 – Engineering Roles

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3 Definitions

The definitions listed in Clause 3 of NR/L2/INI/02009 apply.

4 Compliance

The information contained within this module should be read in conjunction with NR/L2/INI/02009 and NR/L2/INI/02009/02.

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5 Requirements – Network Rail Roles

5.1 Appointment and Delegation of Roles

5.1.1 The SE shall make sure that all AtW appointments are recorded.

NOTE: The process for recording appointments is as described in clauses 5.2 to 6.2.

5.1.2 A person may be appointed to one or more roles within a project. Appointment is subject to demonstration of competence and availability to carry out all of the required duties.

5.1.3 The duties specified, for the roles within this module, may be delegated to competent deputies provided that, all persons appointed to carry out delegated duties, shall as a minimum:

- a) have the skill, knowledge and experience required to undertake their duties commensurate with the type and complexity of the project;
- b) be made aware of their responsibilities;
- c) have sufficient resources and time to undertake their duties;
- d) understand and be able to judge when urgent or immediate action is necessary for safety reasons;
- e) have recorded their acceptance of their delegation.

5.2 Senior Engineer

5.2.1 The SE is accountable for the implementation of this standard within their Delivery Group.

5.2.2 The SE shall appoint DEMs for defined areas within their Delivery Group.

5.2.3 The SE shall produce an EMP for their Delivery Group. The EMP shall:

- a) define the engineering assurance activities the Delivery Group will undertake;
- b) include details of how projects are required to be assured to demonstrate compliance against this standard.

5.2.4 Delivery Group EMPs shall be approved by the Delivery Group Director or equivalent.

5.3 Discipline Engineer (DE)

5.3.1 DLs (normally the Lead DE in each Infrastructure Projects regions or major programmes) or equivalent role within other Network Rail functions shall have a process which defines requirements for, and assesses the competence of, all staff requiring an engineering competence.

5.3.2 This process, and the defined competence requirements, shall be agreed with the appropriate Professional Head and align with applicable corporate competence management systems.

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5.3.3 The competence assessment process shall be appropriate to the scale and complexity of activities the appointee is undertaking (e.g. staff undertaking small and straightforward works need only be assessed to the extent of their scope of work).

NOTE: Refer to NR/L2/INI/02009/02 for minimum requirements.

5.3.4 Application of the competence assessment process within each delivery group shall be documented in accordance with the applicable Engineering Management Plan.

5.3.5 As part of the DM responsibilities the DL shall:

- a) implement the process to document the level and scope of individual competences for members of their discipline. Where appropriate, mentoring and other support arrangements shall be recorded in such documentation;
- b) make sure that the levels and scope of competences for Network Rail project engineers are recorded in the Network Rail competence management system;

NOTE: Competence is currently recorded in ORACLE.

- c) establish robust processes to identify and brief all changes to engineering standards and processes to all members of their discipline, and those members of other disciplines who maintain appropriate engineering competences.

5.4 Discipline Manager (DM)

5.4.1 The DM shall support the DEM to enable mentoring and other support arrangements deemed necessary under the competence assessment process to be implemented.

5.4.2 Where no discipline management framework exists, within other Network Rail Functions, competence management arrangements shall be described within Delivery Group EMPs.

5.4.3 The DM, when requested to do so and in conjunction with DMs for other disciplines, shall support the DEM in the identification of competent resources to undertake the DPE role.

5.4.4 The DM shall, when requested to do so, assist the DPE in the identification of competent resources to undertake the PE role for their discipline.

5.4.5 The DM shall, when requested to do so, assist internal Network Rail design and / or construction organisations in the identification of competent resources to undertake applicable engineering roles for their discipline.

5.5 Director Contracts and Procurement (DCaP)

5.5.1 The DCaP shall have a process in place to qualify suppliers for specified categories of supply. So far as is reasonably practicable this process should

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take account of current supplier capability and an ongoing assessment of performance.

- 5.5.2** This process shall provide information to support the DPE to determine the risk level appropriate for the review of engineering deliverables produced by that supplier.

5.6 Departmental Engineering Manager (DEM)

- 5.6.1** The DEM shall be appointed by the SE within each Delivery Group and recorded using Form NR/L2/INI/02009/F0037, in accordance with the Competence Framework described in NR/L2/INI/02009/02.

- 5.6.2** In conjunction with the DEM, the PM shall appoint a competent DPE for each project. They shall take account of specialist advice where appropriate (including the applicable Senior Engineer (discipline specialist) and/or NSTs) when assessing the competence of the appointees to undertake their responsibilities and duties.

- 5.6.3** The DEM shall assist the DPE in identifying the requirement for Network Rail engineering resources for the management and implementation of a project.

- 5.6.4** When the resource requirement is agreed the DPE shall inform the PM.

- 5.6.5** The resource requirement shall be recorded using Form NR/L2/INI/02009/F0041.

- 5.6.6** Where engineering resources are unavailable the DEM shall work with the respective Discipline Manager to determine how the resource requirements will be met.

- 5.6.7** The DEM shall establish that robust processes to identify and brief all changes to engineering standards and processes are in place, for all staff within their area of responsibility.

- 5.6.8** The DEM shall implement briefing processes for staff within their area of responsibility, requiring an engineering competence who are not covered by an appropriate Discipline briefing process as defined in clause 6.2.2.

- 5.6.9** This shall either be:

- a) by the staff attending the brief arranged by the DEM or by;
- b) arranging for other engineering staff of the relevant engineering discipline to provide the briefing.

- 5.6.10** The DEM shall provide feedback on suppliers to the DCaPs team to support the assessment and rating process.

- 5.6.11** The DEM shall satisfy themselves that all staff joining their specific area of responsibility, that require an engineering competence, have received an appropriate technical induction.

- 5.6.12** The DEM shall make sure that the engineering competence level of each member of staff within their area of responsibility is recorded in accordance with the requirements of the Competence Framework described in NR/L2/INI/02009/02.