



# The Institute of Healthcare Engineering and Estate Management

## **AUTHORISING ENGINEER REGISTER - MANAGEMENT ARRANGEMENTS**

### **1 Background**

NHS England & NHS Improvement and their equivalent organisations within the Devolved Nations are responsible for the development of technical guidance. Engineering healthcare specific technical guidance is a vital tool in the safe and efficient operation of healthcare facilities. HTM, SHTM, WHTM and NIHTM guidance provide specific healthcare-related guidance for engineering and estates and facilities professionals in the UK.

Within the guidance, there is specific instruction that key specialist services should be only carried out by authorised and accredited professional engineers. For example, HTM 00 Policies and Procedures of Healthcare Engineering<sup>1</sup> sets out the responsibilities of individuals who play a key role in the safe and efficient operation and maintenance of healthcare facilities.

### **2 Purpose of Authorising Engineer**

The Authorising Engineer (Independent Advisor) is a key part of the professional support required to ensure the staff employed in the operation and maintenance of the key engineering services in the healthcare estate are competent. HTM 00<sup>2</sup> sets out the key elements of their role as follows: The Authorising Engineer (AE) will act as an independent professional advisor to the healthcare organisation. The AE should be appointed by the organisation with a brief to provide services in accordance with the relevant HTM. The professional status and role required may vary in accordance with the specialist service being supported.

All AE services must be appointed by the client in writing. Where there is any conflict of interest the appointed organisations should formally declare that to the client.

The AE will act as assessor and make recommendations to the client for the appointment of Authorised Persons (APs), monitor the performance of the service, and provide an annual audit to the Designated Person (DP). To effectively carry out this role, particularly with regard to audit, the AE should remain independent of the operational structure of the healthcare organisation.

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<sup>1</sup> HTM 00 HTM 00 Policies and Procedures of Healthcare Engineering the Policies and principles of healthcare engineering (applicable to all Health Technical Memoranda in this series HTM 01-08)

<sup>2</sup> HTM 00 Section 3.16 and 3.17

### **3 Authorising Engineer Registers**

IHEEM has AE registers for the following disciplines:

- a) Decontamination
- b) Electrical services
- c) Water Safety and Hygiene
- d) Medical Gas Pipeline Systems (MGPS)

Further registers may be established where appropriate.

The AE Registers have in place a process of assessment for new applications and for registered AEs who are coming up for their 3-yearly review.

The other AE Registers assess candidates who possess the necessary qualifications, knowledge and experience only.

The Routes to registration as an AE need to be clearly set out for each AE Register, in order for prospective members to familiarise themselves with the appointment criteria and the stages of application to become an AE. Where there are courses in place as part of a framework for candidates to follow as part of their development to meet the requirements, these courses need to be accredited.

### **4 AE Register Application Process**

#### **4.1 New Applicants**

- a) New candidates, who must be members of IHEEM, applying to the AE Registers must submit an application form, together with a practice report which sets out in detail the workplace experience to evidence their knowledge and experience. In addition, candidates will be required to provide an up to date Continued Professional Development (CPD) record and an up-to-date Curriculum Vitae specific to the requirements of the Authorising Engineer Register
- b) Candidates will be required to provide two references to IHEEM Head Office.
- c) The application documentation will be managed in line with IHEEM Head Office protocols and any specific requirements will be included the application package sent to new candidates. The application will be reviewed by a minimum of two registered AEs and a relevant professional on the respective board and decision made to: call candidate to Peer Review Interview, decline application and provide feedback or request further information.

- d The Peer Review Interview Panel will comprise two registered AEs who are members of IHEEM and are from the respective discipline and a Chair. Members of the panel will be selected by Head Office with consideration for availability, inclusivity and impartiality and ensuring no conflict of interest.
- e It is the Chairs prerogative to call upon non-IHEEM members to provide specialist advice, as part of the Peer Review interview Panel, as and when needed to enable robust analysis of the suitability of an individual candidate. Non-members will operate under the jurisdiction of the Chair and will not be a formal part of the final decision on the outcome of an application.
- f To ensure that due diligence is met and that the Institute can demonstrate transparency in the process, an independent observer will also attend the Peer Review Interview. The independent observer will be drawn from the Technology Platform members (Technical Platform Chairs). They will have no role in the decision making but will provide written assurance to the Membership & Registration Committee that the protocols and procedures are adhered to and comply with fair governance.
- g A member of the IHEEM Head Office will attend the Peer Review Interview to capture the outputs from the panel and will ensure appropriate record keeping.
- h Successful candidates will be notified by the Peer Review Interview Panel Chair I to the Membership & Registration Committee to be appointed to the Register. References will be taken up by Head Office after the Peer Review, appointment to the AE Register will be subject to satisfactory references being received.
- i The Chair of the Peer Review Interview Panel will provide written recommendation to the IHEEM CEO as custodian of the AE Register for final sign-off.
- j Where candidates applying for AE (Decontamination) do not have the necessary qualifications etc and wish to be considered for further development, these candidates will be assessed separately to this process.
- k Individuals have the right to appeal the decision on their application for registration. In every case the appeals process, which complies with the related Engineering Council, guidance must be followed.
- l The final decision in any dispute/arbitration lies with the custodian of the Registrar ie IHEEM Chief Executive Officer.
- m The new AE will be required to use the MyIHEEM CPD system to record their CPD and capture their reflective learning.

- n Practising AEs will be required to declare in writing that they have appropriate insurance cover in place in order to operate as an IHEEM registered AE.

## **4.2 Re- Appointment to Register**

- a Registered AEs will be required to renew their registration every three years.
- b AEs will be required to submit IHEEMs Practice Report (professional review) setting out a summary of their workplace activities over the last three years together with an up to date CPD record covering the last three year period.
- c AEs are required to use the MyIHEEM CPD system to record their CPD and capture their reflective learning.
- d AEs will be required to sign a statement confirming that they have followed and agree to continue to follow IHEEMs Code of Conduct and that there have been no serious incidents requiring intervention by a regulator with enforcement powers eg CQC or HSE involving the areas covered by their appointment as AE.
- e AEs will be required to provide the names and contact details for two references from their professional clients. IHEEM Head Office will issue a standard form for completion in confidence which will be returned to them to form part of the formal record. Any further queries or clarifications by the BoR(AE) will be handled from IHEEM Head Office.
- f The documentation will be reviewed by a review panel comprising a minimum of two registered AEs from the respective discipline. Members of the panel will be selected by Head Office considering such areas as availability, inclusivity and impartiality ensuring no conflict of interest. A Chair will be appointed by the Technical Platform Committee.
- g It is the Chairs prerogative to call upon non-IHEEM members to provide specialist advice, as part of the Peer Review Panel, as and when needed to enable robust analysis of the suitability of an individual candidate. Non-members will operate under the jurisdiction of the Chair and will not be a formal part of the final decision on the outcome of a re-registration.
- h A member of the IHEEM Head Office will attend the Peer Review Panel to capture the outputs from the panel and will ensure appropriate record keeping.
- i AEs who are suitable to continue on the Register for a further 3 years will be recommended to the Membership & Registration Committee for re-appointment to the register.



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- j Practising AEs will be required to declare in writing that they have appropriate insurance cover in place in order to operate as an IHEEM registered AE.
- k Individuals have the right to appeal against the decision on their application for re-registration. In every case the appeals process, which complies with the related Engineering Council guidance must be followed.

## **5 Code of Conduct**

The Code of Conduct for IHEEM Registered AEs will be adhered to at all times. The Code of Conduct contains general principles which will be applicable across all disciplines although there may be minor variances in exceptional circumstances.

Any breach of the Code of Conduct will be fully investigated by the Chief Executive and any subsequent disciplinary action will follow IHEEM disciplinary policy. Individuals have the right to appeal. In every case the appeals process, which complies with Engineering Council guidance, must be followed.