



**EDB Information Disclosure Requirements
Information Templates
for
Schedules 11a–13**

Company Name	Nelson Electricity Ltd
Disclosure Date	31 March 2014
AMP Planning Period Start Date (first day)	1 April 2014

Templates for Schedules 11a–13 (Asset Management Plan)
Template Version 3.0. Prepared 13 December 2013

Disclosure Template Guidelines for Information Entry

These templates have been prepared for use by EDBs when making disclosures under subclauses 2.6.1(4), 2.6.1(5) and 2.6.5(5) of the Electricity Distribution Information Disclosure Determination 2012. Disclosures made under subclauses 2.6.1(4) and 2.6.1(5) must be made before the start of each disclosure year. Disclosures made under subclauses 2.6.5(5) must be made within 5 months after the start of the disclosure year. The information disclosed under 2.6.5(5) should be identical to that disclosed under 2.6.1(4) and 2.6.1(5).

Under clause 2.6.3, EDBs can elect to complete and publicly disclose before the start of the disclosure year, an **AMP update**.

EDBs can elect to complete and publicly disclose an AMP update instead of a full AMP in the following years:

- 31 March 2014
- 31 March 2015

If electing to complete an AMP update, EDBs can choose to not complete and disclose Schedule 13: Report on Asset Management Maturity Table. Schedule 13 sheet should be removed if not completed.

If disclosing a Full AMP, EDBs must complete and disclose Schedule 13.

Company Name and Dates

To prepare the templates for disclosure, the supplier's company name should be entered in cell C8, the date of the first day of the 10 year planning period should be entered in cell C12, and the date on which the information is disclosed should be entered in cell C10 of the CoverSheet worksheet.

The cell C12 entry (planning period start date) is used to calculate disclosure years in the column headings that show above some of the tables. It is also used to calculate the AMP planning period dates in the template title blocks (the title blocks are the light green shaded areas at the top of each template).

The cell C8 entry (company name) is used in the template title blocks.

Dates should be entered in day/month/year order (Example -"1 April 2013").

Data Entry Cells and Calculated Cells

Data entered into this workbook may be entered only into the data entry cells. Data entry cells are the bordered, unshaded areas (white cells) in each template. Under no circumstances should data be entered into the workbook outside a data entry cell.

In some cases, where the information for disclosure is able to be ascertained from disclosures elsewhere in the workbook, such information is disclosed in a calculated cell. Under no circumstances should the formulas in a calculated cell be overwritten.

Validation Settings on Data Entry Cells

To maintain a consistency of format and to guard against errors in data entry, some data entry cells test entries for validity and accept only a limited range of values. For example, entries may be limited to a list of category names or to values between 0% and 100%.

Where this occurs, a validation message will appear when data is being entered.

Conditional Formatting Settings on Data Entry Cells

Schedule 12a columns G to K contains conditional formatting. The cells will change colour if the row totals do not add to 100%.

Inserting Additional Rows

The templates for schedules 11a, 12b and 12c may require additional rows to be inserted in tables marked 'include additional rows if needed'.

Additional rows must not be inserted directly above the first row or below the last row of a table. This is to ensure that entries made in the new row are included in the totals.

For schedule 12b the formula for column J (Utilisation of Installed Firm Capacity %) will need to be copied into the inserted row(s).

Schedule 11a & 11b

Schedule 11a requires Capital and Operational Expenditure to be expressed in both nominal and constant prices.

The differences between the nominal and constant prices should reflect EDB expectations of the impact of changes in the costs of its labour, materials and other inputs (ie, inflationary pressures).

Schedule 12b(ii)

The purpose of schedule 12b(ii) is to disclose transformer capacity as at the end of the current year. As the information may not be available in time for disclosures made under subclause 2.6.1(4), but available for disclosures made under 2.6.5(5), EDBs can choose not to disclose transformer capacity under schedule 12b(ii). EDBs who do not disclose transformer capacity under schedule 12b(ii) must disclose the information in schedule 9e(iii). Accordingly, the Excel template has been modified to allow the value "N/A" to be entered into these input cells.

Schedule 12d Report Forecast Interruptions and Duration sub-network disclosures

If the supplier has sub-networks, schedule 12d must be completed for the network and for each sub-network. A copy of the schedule 12d worksheet must be made for each sub-network.

Schedule 13 Report on Asset Management Maturity

The name of the standard applied (eg, 'PAS55') must be entered in cell K4.

Company Name **Nelson Electricity Ltd**
 AMP Planning Period **1 April 2014 – 31 March 2024**

SCHEDULE 11a: REPORT ON FORECAST CAPITAL EXPENDITURE

This schedule requires a breakdown of forecast expenditure on assets for the current disclosure year and a 10 year planning period. The forecasts should be consistent with the supporting information set out in the AMP. The forecast is to be expressed in both constant price and nominal dollar terms. Also required is a forecast of the value of commissioned assets (i.e., the value of RAB additions)
 EDBs must provide explanatory comment on the difference between constant price and nominal dollar forecasts of expenditure on assets in Schedule 14a (Mandatory Explanatory Notes).
 This information is not part of audited disclosure information.

sch ref		Current Year CY	CY+1	CY+2	CY+3	CY+4	CY+5	CY+6	CY+7	CY+8	CY+9	CY+10
		for year ended 31 Mar 14	31 Mar 15	31 Mar 16	31 Mar 17	31 Mar 18	31 Mar 19	31 Mar 20	31 Mar 21	31 Mar 22	31 Mar 23	31 Mar 24
9	11a(i): Expenditure on Assets Forecast	\$000 (in nominal dollars)										
10	Consumer connection											
11	System growth	8,437	235	150	150	150	150	150	150	150	150	150
12	Asset replacement and renewal	349	520	710	530	1,285	1,257	1,352	1,237	1,322	1,371	1,122
13	Asset relocations	38										
14	Reliability, safety and environment:											
15	Quality of supply	4										
16	Legislative and regulatory											
17	Other reliability, safety and environment		130	30	300	30	120	300	430	260	80	154
18	Total reliability, safety and environment	4	130	30	300	30	120	300	430	260	80	154
19	Expenditure on network assets	8,828	885	890	980	1,465	1,527	1,802	1,817	1,732	1,601	1,426
20	Non-network assets	74			76			18	60		20	
21	Expenditure on assets	8,902	885	890	1,056	1,465	1,527	1,820	1,877	1,732	1,621	1,426
22												
23	plus Cost of financing	165										
24	less Value of capital contributions	167	30									
25	plus Value of vested assets											
26												
27	Capital expenditure forecast	8,900	855	890	1,056	1,465	1,527	1,820	1,877	1,732	1,621	1,426
28												
29	Value of commissioned assets	8,900	855	890	1,056	1,465	1,527	1,820	1,877	1,732	1,621	1,426
30												
31		Current Year CY	CY+1	CY+2	CY+3	CY+4	CY+5	CY+6	CY+7	CY+8	CY+9	CY+10
32		for year ended 31 Mar 14	31 Mar 15	31 Mar 16	31 Mar 17	31 Mar 18	31 Mar 19	31 Mar 20	31 Mar 21	31 Mar 22	31 Mar 23	31 Mar 24
33		\$000 (in constant prices)										
33	Consumer connection											
34	System growth	8,437	237	155	158	161	164	169	172	176	179	183
35	Asset replacement and renewal	349	525	731	557	1,377	1,374	1,523	1,421	1,549	1,638	1,368
36	Asset relocations	38										
37	Reliability, safety and environment:											
38	Quality of supply	4										
39	Legislative and regulatory											
40	Other reliability, safety and environment	0	111	31	315	32	131	338	494	305	96	188
41	Total reliability, safety and environment	4	111	31	315	32	131	338	494	305	96	188
42	Expenditure on network assets	8,827	874	917	1,030	1,570	1,669	2,029	2,087	2,029	1,913	1,738
43	Non-network assets	74			80							
44	Expenditure on assets	8,901	874	917	1,110	1,570	1,669	2,029	2,087	2,029	1,913	1,738
45												
46	Subcomponents of expenditure on assets (where known)											
47	Energy efficiency and demand side management, reduction of energy losses											
48	Overhead to underground conversion											
49	Research and development		20									

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SCHEDULE 11a: REPORT ON FORECAST CAPITAL EXPENDITURE

This schedule requires a breakdown of forecast expenditure on assets for the current disclosure year and a 10 year planning period. The forecasts should be consistent with the supporting information set out in the AMP. The forecast is to be expressed in both constant price and nominal dollar terms. Also required is a forecast of the value of commissioned assets (i.e., the value of RAB additions)
 EDBs must provide explanatory comment on the difference between constant price and nominal dollar forecasts of expenditure on assets in Schedule 14a (Mandatory Explanatory Notes).
 This information is not part of audited disclosure information.

sch ref		for year ended										
		Current Year CY 31 Mar 14	CY+1 31 Mar 15	CY+2 31 Mar 16	CY+3 31 Mar 17	CY+4 31 Mar 18	CY+5 31 Mar 19	CY+6 31 Mar 20	CY+7 31 Mar 21	CY+8 31 Mar 22	CY+9 31 Mar 23	CY+10 31 Mar 24
57		\$000										
58	Difference between nominal and constant price forecasts											
59	Consumer connection	-	-	-	-	-	-	-	-	-	-	-
60	System growth	0	(2)	(5)	(8)	(11)	(14)	(19)	(22)	(26)	(29)	(33)
61	Asset replacement and renewal	(0)	(5)	(21)	(27)	(92)	(117)	(171)	(184)	(227)	(267)	(246)
62	Asset relocations	0	-	-	-	-	-	-	-	-	-	-
63	Reliability, safety and environment:											
64	Quality of supply	0	-	-	-	-	-	-	-	-	-	-
65	Legislative and regulatory	-	-	-	-	-	-	-	-	-	-	-
66	Other reliability, safety and environment	(0)	19	(1)	(15)	(2)	(11)	(38)	(64)	(45)	(16)	(34)
67	Total reliability, safety and environment	0	19	(1)	(15)	(2)	(11)	(38)	(64)	(45)	(16)	(34)
68	Expenditure on network assets	1	11	(27)	(50)	(105)	(142)	(227)	(270)	(297)	(312)	(312)
69	Non-network assets	(0)	-	-	(4)	-	-	18	60	-	20	-
70	Expenditure on assets	1	11	(27)	(54)	(105)	(142)	(209)	(210)	(297)	(292)	(312)
71												
72												
73												
74	11a(ii): Consumer Connection											
75	Consumer types defined by EDB*	\$000 (in constant prices)										
76	[EDB consumer type]											
77	[EDB consumer type]											
78	[EDB consumer type]											
79	[EDB consumer type]											
80	[EDB consumer type]											
81	*include additional rows if needed											
82	Consumer connection expenditure	-	-	-	-	-	-	-	-	-	-	-
83	less Capital contributions funding consumer connection											
84	Consumer connection less capital contributions											
85	11a(iii): System Growth											
86	Subtransmission	1,116	-	-	-	-	-	-	-	-	-	-
87	Zone substations	7,087	-	-	-	-	-	-	-	-	-	-
88	Distribution and LV lines	-	-	-	-	-	-	-	-	-	-	-
89	Distribution and LV cables	12	-	-	-	-	-	-	-	-	-	-
90	Distribution substations and transformers	215	187	52	53	54	55	-	-	-	-	-
91	Distribution switchgear	7	-	-	-	-	-	-	-	-	-	-
92	Other network assets	-	51	103	105	107	109	-	-	-	-	-
93	System growth expenditure	8,437	237	155	158	161	164	-	-	-	-	-
94	less Capital contributions funding system growth											
95	System growth less capital contributions	8,437	237	155	158	161	164	-	-	-	-	-

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SCHEDULE 11a: REPORT ON FORECAST CAPITAL EXPENDITURE

This schedule requires a breakdown of forecast expenditure on assets for the current disclosure year and a 10 year planning period. The forecasts should be consistent with the supporting information set out in the AMP. The forecast is to be expressed in both constant price and nominal dollar terms. Also required is a forecast of the value of commissioned assets (i.e., the value of RAB additions)
 EDBs must provide explanatory comment on the difference between constant price and nominal dollar forecasts of expenditure on assets in Schedule 14a (Mandatory Explanatory Notes).
 This information is not part of audited disclosure information.

sch ref		Current Year CY	CY+1	CY+2	CY+3	CY+4	CY+5
	for year ended	31 Mar 14	31 Mar 15	31 Mar 16	31 Mar 17	31 Mar 18	31 Mar 19
105	11a(iv): Asset Replacement and Renewal	\$000 (in constant prices)					
106	Subtransmission			-			-
107	Zone substations						
108	Distribution and LV lines	9					
109	Distribution and LV cables	212	394	598	368	1,184	1,101
110	Distribution substations and transformers	50					
111	Distribution switchgear	16	30	31	32	32	33
112	Other network assets	62	101	103	158	161	241
113	Asset replacement and renewal expenditure	349	525	731	557	1,377	1,374
114	less Capital contributions funding asset replacement and renewal						
115	Asset replacement and renewal less capital contributions	349	525	731	557	1,377	1,374
116	11a(v):Asset Relocations						
117	<i>Project or programme*</i>						
118	[Description of material project or programme]						
119	[Description of material project or programme]						
120	[Description of material project or programme]						
121	[Description of material project or programme]						
122	[Description of material project or programme]						
123	<i>*include additional rows if needed</i>						
124	All other asset relocations projects or programmes	38					
125	Asset relocations expenditure	38					
126	less Capital contributions funding asset relocations	34					
127	Asset relocations less capital contributions	4					
128							
129	11a(vi):Quality of Supply						
130	<i>Project or programme*</i>						
131	[Description of material project or programme]	4					
132	[Description of material project or programme]						
133	[Description of material project or programme]						
134	[Description of material project or programme]						
135	[Description of material project or programme]						
136	<i>*include additional rows if needed</i>						
137	All other quality of supply projects or programmes						
138	Quality of supply expenditure	4					
139	less Capital contributions funding quality of supply						
140	Quality of supply less capital contributions	4					
141							
142	11a(vii): Legislative and Regulatory						
143	<i>Project or programme*</i>						
144	[Description of material project or programme]						
145	[Description of material project or programme]						
146	[Description of material project or programme]						
147	[Description of material project or programme]						
148	[Description of material project or programme]						
149	<i>*include additional rows if needed</i>						
150	All other legislative and regulatory projects or programmes						
151	Legislative and regulatory expenditure	-	-	-	-	-	-
152	less Capital contributions funding legislative and regulatory						
153	Legislative and regulatory less capital contributions	-	-	-	-	-	-

Company Name **Nelson Electricity Ltd**
 AMP Planning Period **1 April 2014 – 31 March 2024**

SCHEDULE 11a: REPORT ON FORECAST CAPITAL EXPENDITURE

This schedule requires a breakdown of forecast expenditure on assets for the current disclosure year and a 10 year planning period. The forecasts should be consistent with the supporting information set out in the AMP. The forecast is to be expressed in both constant price and nominal dollar terms. Also required is a forecast of the value of commissioned assets (i.e., the value of RAB additions). EDBs must provide explanatory comment on the difference between constant price and nominal dollar forecasts of expenditure on assets in Schedule 14a (Mandatory Explanatory Notes). This information is not part of audited disclosure information.

sch ref

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for year ended **Current Year CY** **CY+1** **CY+2** **CY+3** **CY+4** **CY+5**
31 Mar 14 **31 Mar 15** **31 Mar 16** **31 Mar 17** **31 Mar 18** **31 Mar 19**

11a(viii): Other Reliability, Safety and Environment

<i>Project or programme*</i>		\$000 (in constant prices)					
Security		0	111	31	315	32	131
(Description of material project or programme)							
(Description of material project or programme)							
(Description of material project or programme)							
(Description of material project or programme)							
<i>*Include additional rows if needed</i>							
All other reliability, safety and environment projects or programmes							
Other reliability, safety and environment expenditure		0	111	31	315	32	131
less	Capital contributions funding other reliability, safety and environment						
Other reliability, safety and environment less capital contributions		0	111	31	315	32	131

11a(ix): Non-Network Assets

<i>Project or programme*</i>		\$000 (in constant prices)					
Routine expenditure							
Purchase of New Vehicles					62		
Computers and New Server		70			18		
Safety Equipment		3					
Office Equipment		1					
(Description of material project or programme)							
<i>*Include additional rows if needed</i>							
All other routine expenditure projects or programmes							
Routine expenditure		74			80		
Atypical expenditure							
(Description of material project or programme)							
(Description of material project or programme)							
(Description of material project or programme)							
(Description of material project or programme)							
(Description of material project or programme)							
<i>*Include additional rows if needed</i>							
All other atypical projects or programmes							
Atypical expenditure							
Non-network assets expenditure		74			80		

Company Name **Nelson Electricity Ltd**
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SCHEDULE 11b: REPORT ON FORECAST OPERATIONAL EXPENDITURE

This schedule requires a breakdown of forecast operational expenditure for the disclosure year and a 10 year planning period. The forecasts should be consistent with the supporting information set out in the AMP. The forecast is to be expressed in both constant price and nominal dollar terms. EDBs must provide explanatory comment on the difference between constant price and nominal dollar operational expenditure forecasts in Schedule 14a (Mandatory Explanatory Notes). This information is not part of audited disclosure information.

sch ref		Current Year CY	CY+1	CY+2	CY+3	CY+4	CY+5	CY+6	CY+7	CY+8	CY+9	CY+10	
	for year ended	31 Mar 14	31 Mar 15	31 Mar 16	31 Mar 17	31 Mar 18	31 Mar 19	31 Mar 20	31 Mar 21	31 Mar 22	31 Mar 23	31 Mar 24	
9	Operational Expenditure Forecast	\$000 (in nominal dollars)											
10	Service interruptions and emergencies	96	144	144	144	144	144	144	144	144	144	144	
11	Vegetation management	46	30	35	35	35	35	35	35	35	35	35	
12	Routine and corrective maintenance and inspection	672	250	228	228	228	228	228	228	228	228	228	
13	Asset replacement and renewal	59	375	342	342	342	342	342	342	342	342	342	
14	Network Opex	873	800	750	750	750	750	750	750	750	750	750	
15	System operations and network support	413	258	250	255	260	265	270	276	281	287	293	
16	Business support	946	1,342	1,347	1,363	1,380	1,397	1,425	1,453	1,483	1,512	1,542	
17	Non-network opex	1,359	1,599	1,597	1,618	1,640	1,662	1,695	1,729	1,764	1,799	1,835	
18	Operational expenditure	2,232	2,399	2,347	2,368	2,390	2,412	2,445	2,479	2,514	2,549	2,585	
19		Current Year CY	CY+1	CY+2	CY+3	CY+4	CY+5	CY+6	CY+7	CY+8	CY+9	CY+10	
20	for year ended	31 Mar 14	31 Mar 15	31 Mar 16	31 Mar 17	31 Mar 18	31 Mar 19	31 Mar 20	31 Mar 21	31 Mar 22	31 Mar 23	31 Mar 24	
21		\$000 (in constant prices)											
22	Service interruptions and emergencies	96	147	150	153	156	159	163	166	169	173	176	
23	Vegetation management	46	31	36	37	38	39	39	40	41	42	43	
24	Routine and corrective maintenance and inspection	672	255	237	242	247	252	257	262	267	273	278	
25	Asset replacement and renewal	59	383	356	363	371	378	386	393	401	409	417	
26	Network Opex	873	816	780	796	812	828	845	862	879	896	914	
27	System operations and network support	413	263	260	268	281	293	304	317	329	343	357	
28	Business support	946	1,368	1,401	1,432	1,494	1,542	1,605	1,670	1,737	1,807	1,880	
29	Non-network opex	1,359	1,631	1,662	1,700	1,775	1,835	1,909	1,986	2,066	2,150	2,237	
30	Operational expenditure	2,232	2,447	2,442	2,496	2,587	2,663	2,754	2,848	2,945	3,046	3,151	
31	Subcomponents of operational expenditure (where known)												
32	Energy efficiency and demand side management, reduction of energy losses												
33	Direct billing*												
34	Research and Development												
35	Insurance	147											
37	* Direct billing expenditure by suppliers that direct bill the majority of their consumers												
38		Current Year CY	CY+1	CY+2	CY+3	CY+4	CY+5	CY+6	CY+7	CY+8	CY+9	CY+10	
39	for year ended	31 Mar 14	31 Mar 15	31 Mar 16	31 Mar 17	31 Mar 18	31 Mar 19	31 Mar 20	31 Mar 21	31 Mar 22	31 Mar 23	31 Mar 24	
41	Difference between nominal and real forecasts	\$000											
42	Service interruptions and emergencies	-	(3)	(6)	(9)	(12)	(15)	(18)	(21)	(25)	(28)	(32)	
43	Vegetation management	-	(1)	(1)	(2)	(3)	(4)	(4)	(5)	(6)	(7)	(8)	
44	Routine and corrective maintenance and inspection	-	(5)	(9)	(14)	(19)	(24)	(29)	(34)	(39)	(45)	(50)	
45	Asset replacement and renewal	-	(8)	(14)	(21)	(28)	(36)	(43)	(51)	(59)	(67)	(75)	
46	Network Opex	-	(16)	(30)	(46)	(62)	(78)	(95)	(112)	(129)	(146)	(164)	
47	System operations and network support	-	(5)	(10)	(13)	(21)	(28)	(34)	(41)	(48)	(56)	(64)	
48	Business support	-	(27)	(54)	(69)	(114)	(145)	(180)	(216)	(254)	(295)	(338)	
49	Non-network opex	-	(32)	(65)	(82)	(135)	(173)	(214)	(257)	(303)	(351)	(402)	
50	Operational expenditure	-	(48)	(95)	(128)	(197)	(251)	(308)	(369)	(432)	(497)	(566)	

Company Name	Nelson Electricity Ltd
AMP Planning Period	1 April 2014 – 31 March 2024

SCHEDULE 12a: REPORT ON ASSET CONDITION

This schedule requires a breakdown of asset condition by asset class as at the start of the forecast year. The data accuracy assessment relates to the percentage values disclosed in the asset condition columns. Also required is a forecast of the percentage of units to be replaced in the next 5 years. All information should be consistent with the information provided in the AMP and the expenditure on assets forecast in Schedule 11a. All units relating to cable and line assets, that are expressed in km, refer to circuit lengths.

sch ref	Asset condition at start of planning period (percentage of units by grade)											
	Voltage	Asset category	Asset class	Units	Grade 1	Grade 2	Grade 3	Grade 4	Grade unknown	Data accuracy (1-4)	% of asset forecast to be replaced in next 5 years	
7												
8												
9												
10	All	Overhead Line	Concrete poles / steel structure	No.			80.00%	20.00%		4	1.00%	
11	All	Overhead Line	Wood poles	No.		60.00%	20.00%	20.00%		4	1.00%	
12	All	Overhead Line	Other pole types	No.						[Select one]		
13	HV	Subtransmission Line	Subtransmission OH up to 66kV conductor	km		100.00%				3	100.00%	
14	HV	Subtransmission Line	Subtransmission OH 110kV+ conductor	km						[Select one]		
15	HV	Subtransmission Cable	Subtransmission UG up to 66kV (XLPE)	km			100.00%			2	-	
16	HV	Subtransmission Cable	Subtransmission UG up to 66kV (Oil pressurised)	km						[Select one]		
17	HV	Subtransmission Cable	Subtransmission UG up to 66kV (Gas pressurised)	km						[Select one]		
18	HV	Subtransmission Cable	Subtransmission UG up to 66kV (PILC)	km			100.00%			2	-	
19	HV	Subtransmission Cable	Subtransmission UG 110kV+ (XLPE)	km						[Select one]		
20	HV	Subtransmission Cable	Subtransmission UG 110kV+ (Oil pressurised)	km						[Select one]		
21	HV	Subtransmission Cable	Subtransmission UG 110kV+ (Gas Pressurised)	km						[Select one]		
22	HV	Subtransmission Cable	Subtransmission UG 110kV+ (PILC)	km						[Select one]		
23	HV	Subtransmission Cable	Subtransmission submarine cable	km						[Select one]		
24	HV	Zone substation Buildings	Zone substations up to 66kV	No.				100.00%		4	100.00%	
25	HV	Zone substation Buildings	Zone substations 110kV+	No.						[Select one]		
26	HV	Zone substation switchgear	22/33kV CB (Indoor)	No.						[Select one]		
27	HV	Zone substation switchgear	22/33kV CB (Outdoor)	No.				100.00%		4	100.00%	
28	HV	Zone substation switchgear	33kV Switch (Ground Mounted)	No.						[Select one]		
29	HV	Zone substation switchgear	33kV Switch (Pole Mounted)	No.				100.00%		4	100.00%	
30	HV	Zone substation switchgear	33kV RMU	No.						[Select one]		
31	HV	Zone substation switchgear	50/66/110kV CB (Indoor)	No.						[Select one]		
32	HV	Zone substation switchgear	50/66/110kV CB (Outdoor)	No.						[Select one]		
33	HV	Zone substation switchgear	3.3/6.6/11/22kV CB (ground mounted)	No.			100.00%			3	1.00%	
34	HV	Zone substation switchgear	3.3/6.6/11/22kV CB (pole mounted)	No.						[Select one]		

Company Name	Nelson Electricity Ltd
AMP Planning Period	1 April 2014 – 31 March 2024

SCHEDULE 12a: REPORT ON ASSET CONDITION

This schedule requires a breakdown of asset condition by asset class as at the start of the forecast year. The data accuracy assessment relates to the percentage values disclosed in the asset condition columns. Also required is a forecast of the percentage of units to be replaced in the next 5 years. All information should be consistent with the information provided in the AMP and the expenditure on assets forecast in Schedule 11a. All units relating to cable and line assets, that are expressed in km, refer to circuit lengths.

sch ref	Asset condition at start of planning period (percentage of units by grade)										
	Voltage	Asset category	Asset class	Units	Grade 1	Grade 2	Grade 3	Grade 4	Grade unknown	Data accuracy (1-4)	% of asset forecast to be replaced in next 5 years
42											
43											
44											
45	HV	Zone Substation Transformer	Zone Substation Transformers	No.				100.00%		4	100.00%
46	HV	Distribution Line	Distribution OH Open Wire Conductor	km			90.00%	10.00%		3	-
47	HV	Distribution Line	Distribution OH Aerial Cable Conductor	km						[Select one]	
48	HV	Distribution Line	SWER conductor	km			100.00%			3	-
49	HV	Distribution Cable	Distribution UG XLPE or PVC	km			90.00%	10.00%		2	-
50	HV	Distribution Cable	Distribution UG PILC	km			60.00%	40.00%		2	7.00%
51	HV	Distribution Cable	Distribution Submarine Cable	km						[Select one]	
52	HV	Distribution switchgear	3.3/6.6/11/22kV CB (pole mounted) - reclosers and sectionalisers	No.			100.00%			4	-
53	HV	Distribution switchgear	3.3/6.6/11/22kV CB (Indoor)	No.		23.00%	64.00%	13.00%		3	-
54	HV	Distribution switchgear	3.3/6.6/11/22kV Switches and fuses (pole mounted)	No.				100.00%		3	-
55	HV	Distribution switchgear	3.3/6.6/11/22kV Switch (ground mounted) - except RMU	No.				100.00%		3	-
56	HV	Distribution switchgear	3.3/6.6/11/22kV RMU	No.		1.00%	49.00%	50.00%		3	-
57	HV	Distribution Transformer	Pole Mounted Transformer	No.			40.00%	60.00%		3	1.00%
58	HV	Distribution Transformer	Ground Mounted Transformer	No.		10.00%	75.00%	15.00%		3	-
59	HV	Distribution Transformer	Voltage regulators	No.						[Select one]	
60	HV	Distribution Substations	Ground Mounted Substation Housing	No.			80.00%	20.00%		3	1.00%
61	LV	LV Line	LV OH Conductor	km			100.00%			3	-
62	LV	LV Cable	LV UG Cable	km		20.00%	60.00%	20.00%		2	0.50%
63	LV	LV Streetlighting	LV OH/UG Streetlight circuit	km		30.00%	60.00%	10.00%		2	-
64	LV	Connections	OH/UG consumer service connections	No.			60.00%	40.00%		3	-
65	All	Protection	Protection relays (electromechanical, solid state and numeric)	No.			10.00%	90.00%		3	10.00%
66	All	SCADA and communications	SCADA and communications equipment operating as a single system	Lot			10.00%	90.00%		3	-
67	All	Capacitor Banks	Capacitors including controls	No.						[Select one]	
68	All	Load Control	Centralised plant	Lot						[Select one]	
69	All	Load Control	Relays	No.						[Select one]	
70	All	Civils	Cable Tunnels	km						[Select one]	

Company Name **Nelson Electricity Ltd**
 AMP Planning Period **1 April 2014 – 31 March 2024**

SCHEDULE 12b: REPORT ON FORECAST CAPACITY

This schedule requires a breakdown of current and forecast capacity and utilisation for each zone substation and current distribution transformer capacity. The data provided should be consistent with the information provided in the AMP. Information provided in this table should relate to the operation of the network in its normal steady state configuration.

sch ref

7 12b(i): System Growth - Zone Substations

8		Current Peak Load (MVA)	Installed Firm Capacity (MVA)	Security of Supply Classification (type)	Transfer Capacity (MVA)	Utilisation of Installed Firm Capacity %	Installed Firm Capacity +5 years (MVA)	Utilisation of Installed Firm Capacity + 5yrs %	Installed Firm Capacity Constraint +5 years (cause)	Explanation
9	<i>Existing Zone Substations</i>									
	New Haven Road	33	48	N-1	4	69%	48	71%	No constraint within +5 years	
10	[Zone Substation_02]					-			[Select one]	
11	[Zone Substation_03]					-			[Select one]	
12	[Zone Substation_04]					-			[Select one]	
13	[Zone Substation_05]					-			[Select one]	
14	[Zone Substation_06]					-			[Select one]	
15	[Zone Substation_07]					-			[Select one]	
16	[Zone Substation_08]					-			[Select one]	
17	[Zone Substation_09]					-			[Select one]	
18	[Zone Substation_10]					-			[Select one]	
19	[Zone Substation_11]					-			[Select one]	
20	[Zone Substation_12]					-			[Select one]	
21	[Zone Substation_13]					-			[Select one]	
22	[Zone Substation_14]					-			[Select one]	
23	[Zone Substation_15]					-			[Select one]	
24	[Zone Substation_16]					-			[Select one]	
25	[Zone Substation_17]					-			[Select one]	
26	[Zone Substation_18]					-			[Select one]	
27	[Zone Substation_19]					-			[Select one]	
28	[Zone Substation_20]					-			[Select one]	

¹ Extend forecast capacity table as necessary to disclose all capacity by each zone substation

30 12b(ii): Transformer Capacity

31		(MVA)
32	Distribution transformer capacity (EDB owned)	93
33	Distribution transformer capacity (Non-EDB owned)	-
34	Total distribution transformer capacity	93
35		
36	Zone substation transformer capacity	48

Company Name	Nelson Electricity Ltd
AMP Planning Period	1 April 2014 – 31 March 2024

SCHEDULE 12C: REPORT ON FORECAST NETWORK DEMAND

This schedule requires a forecast of new connections (by consumer type), peak demand and energy volumes for the disclosure year and a 5 year planning period. The forecasts should be consistent with the supporting information set out in the AMP as well as the assumptions used in developing the expenditure forecasts in Schedule 11a and Schedule 11b and the capacity and utilisation forecasts in Schedule 12b.

sch ref

12c(i): Consumer Connections

Number of ICPs connected in year by consumer type

	Number of connections					
	Current Year CY	CY+1	CY+2	CY+3	CY+4	CY+5
for year ended	31 Mar 14	31 Mar 15	31 Mar 16	31 Mar 17	31 Mar 18	31 Mar 19
<i>Consumer types defined by EDB*</i>						
Load Group 0 (Unmetered and Builders Temporary)	39	40	42	44	46	48
Load Group 1 (Low User)	2,564	2,755	2,955	3,155	3,355	3,555
Load Group 2 (Mass Market - Residential)	6,474	4,918	4,768	4,618	4,468	4,318
Load Group 2 (Mass Market - Business)	93	1,414	1,419	1,424	1,429	1,434
Load Group 3 (Time of Use)	1	96	97	98	99	100
Connections total	9,171	9,223	9,281	9,339	9,397	9,455

*include additional rows if needed

Distributed generation

Number of connections

Installed connection capacity of distributed generation (MVA)

Number of connections	31	60	100	150	210	280
Installed connection capacity of distributed generation (MVA)	2	2	2	2	3	3

12c(ii) System Demand

Maximum coincident system demand (MW)

GXP demand

plus Distributed generation output at HV and above

Maximum coincident system demand

less Net transfers to (from) other EDBs at HV and above

Demand on system for supply to consumers' connection points

	Current Year CY	CY+1	CY+2	CY+3	CY+4	CY+5
for year ended	31 Mar 14	31 Mar 15	31 Mar 16	31 Mar 17	31 Mar 18	31 Mar 19
GXP demand	33	33	33	33	34	34
plus Distributed generation output at HV and above	-	-	-	-	-	-
Maximum coincident system demand	33	33	33	33	34	34
less Net transfers to (from) other EDBs at HV and above						
Demand on system for supply to consumers' connection points	33	33	33	33	34	34

Electricity volumes carried (GWh)

Electricity supplied from GXPs

less Electricity exports to GXPs

plus Electricity supplied from distributed generation

less Net electricity supplied to (from) other EDBs

Electricity entering system for supply to ICPs

less Total energy delivered to ICPs

Losses

Load factor

Loss ratio

Electricity supplied from GXPs	148	148	149	149	150	151
less Electricity exports to GXPs	-	-	-	-	-	-
plus Electricity supplied from distributed generation	0	0	0	0	0	1
less Net electricity supplied to (from) other EDBs	-	-	-	-	-	-
Electricity entering system for supply to ICPs	148	148	149	150	150	151
less Total energy delivered to ICPs	142	142	143	143	144	145
Losses	6	6	6	6	6	6
Load factor	51%	51%	51%	51%	51%	51%
Loss ratio	4.2%	4.2%	4.2%	4.2%	4.2%	4.2%

Company Name	Nelson Electricity Ltd
AMP Planning Period	1 April 2014 – 31 March 2024
Network / Sub-network Name	Nelson Electricity Ltd

SCHEDULE 12d: REPORT FORECAST INTERRUPTIONS AND DURATION

This schedule requires a forecast of SAIFI and SAIDI for disclosure and a 5 year planning period. The forecasts should be consistent with the supporting information set out in the AMP as well as the assumed impact of planned and unplanned SAIFI and SAIDI on the expenditures forecast provided in Schedule 11a and Schedule 11b.

sch ref		Current Year CY	CY+1	CY+2	CY+3	CY+4	CY+5
	for year ended	31 Mar 14	31 Mar 15	31 Mar 16	31 Mar 17	31 Mar 18	31 Mar 19
8							
9							
10	SAIDI						
11	Class B (planned interruptions on the network)	1.5	15.0	15.0	15.0	15.0	15.0
12	Class C (unplanned interruptions on the network)	21.0	30.0	30.0	30.0	30.0	30.0
13	SAIFI						
14	Class B (planned interruptions on the network)	0.21	0.30	0.30	0.30	0.30	0.30
15	Class C (unplanned interruptions on the network)	0.29	0.60	0.60	0.60	0.60	0.60

Company Name

NELSON ELECTRICITY LTD

AMP Planning Period

Asset Management Standard Applied

SCHEDULE 13: REPORT ON ASSET MANAGEMENT MATURITY

This schedule requires information on the EDR's self-assessment of the maturity of its asset management practices.

Question No.	Function	Question	Score	Evidence—Summary	User Guidance	Why	Who	Record/document information
3	Asset management policy	To what extent has an asset management policy been documented, authorised and communicated?	2	The AMP sets out a broad description of background and Objectives in Section 2, which could be considered to embody policy.	S.Reed indicated that the AMP contains a written AM Policy which is also on the website. DELTA is made aware of NEL's long-term asset plans.	Widely used AM practice standards require an organisation to document, authorise and communicate its asset management policy (eg, as required in PAS 55 para 4.2 j). A key pre-requisite of any robust policy is that the organisation's top management must be seen to endorse and fully support it. Also vital to the effective implementation of the policy, is to tell the appropriate people of its content and their obligations under it. Where an organisation outsources some of its asset-related activities, then these people and their organisations must equally be made aware of the policy's content. Also, there may be other stakeholders, such as regulatory authorities and shareholders who should be made aware of it.	Top management. The management team that has overall responsibility for asset management.	The organisation's asset management policy, its organisational strategic plan, documents indicating how the asset management policy was based upon the needs of the organisation and evidence of communication.
10	Asset management strategy	What has the organisation done to ensure that its asset management strategy is consistent with other appropriate organisational policies and strategies, and the needs of stakeholders?	3	Section 4.10 of the AMP records a major customer survey in which the 20 largest customers expressed a preference to pay about the same to receive about the same reliability. The projected constant SAIDI reflects this preference. Work streams such as the PSMs are further evidence of alignment to stated goals and wider stakeholder requirements.	S.Reed confirmed that customer surveys are a key input to the AM Process, which matches reliability and hence work to customer preferences to have about the same reliability.	In setting an organisation's asset management strategy, it is important that it is consistent with any other policies and strategies that the organisation has and has taken into account the requirements of relevant stakeholders. This question examines to what extent the asset management strategy is consistent with other organisational policies and strategies (eg, as required by PAS 55 para 4.3.1 b) and has taken account of stakeholder requirements as required by PAS 55 para 4.3.1 c). Generally, this will take into account the same policies, strategies and stakeholder requirements as covered in drafting the asset management policy but at a greater level of detail.	Top management. The organisation's strategic planning team. The management team that has overall responsibility for asset management.	The organisation's asset management strategy document and other related organisational policies and strategies. Other than the organisation's strategic plan, these could include those relating to health and safety, environmental, etc. Results of stakeholder consultation.
11	Asset management strategy	In what way does the organisation's asset management strategy take account of the lifecycle of the assets, asset types and asset systems over which the organisation has stewardship?	3	Section 6 - Life Cycle Asset Management Planning details procedures and timing for Oil Tests, Earth Tests and Megger Test which are recorded following inspection.	S.Reed confirmed that all assets are inspected on a regular basis reflecting their criticality. Returned inspection data is recorded and outlying data is marked for intervention. Inspection check sheets are amended when new assets are added or removed. Safety bulletins such as EEA notices are circulated to all staff and trigger a review of NEL's assets. M.Braden confirmed that urgent (next day) action will be taken if an asset is considered to be in a dangerous condition.	Good asset stewardship is the hallmark of an organisation compliant with widely used AM standards. A key component of this is the need to take account of the lifecycle of the assets, asset types and asset systems. (For example, this requirement is recognised in 4.3.1 d) of PAS 55). This question explores what an organisation has done to take lifecycle into account in its asset management strategy.	Top management. People in the organisation with expert knowledge of the assets, asset types, asset systems and their associated life-cycles. The management team that has overall responsibility for asset management. Those responsible for developing and adopting methods and processes used in asset management	The organisation's documented asset management strategy and supporting working documents.
26	Asset management plan(s)	How does the organisation establish and document its asset management plan(s) across the life cycle activities of its assets and asset systems?	3	The Network Extension Design & Construction Standards manual has been inspected, and it is confirmed that this embodies typical power engineering standards and principles.	S.Reed confirmed that Policies, Standards etc are in place for all lifecycle phases. These are controlled documents for which variations to scope, quality, materials etc must be approved by NEL. The asset database generates lifecycle activities as new assets are added.	The asset management strategy need to be translated into practical plan(s) so that all parties know how the objectives will be achieved. The development of plan(s) will need to identify the specific tasks and activities required to optimize costs, risks and performance of the assets and/or asset system(s), when they are to be carried out and the resources required.	The management team with overall responsibility for the asset management system. Operations, maintenance and engineering managers.	The organisation's asset management plan(s).

SCHEDULE 13: REPORT ON ASSET MANAGEMENT MATURITY (cont)

Question No.	Function	Question	Score	Evidence—Summary	User Guidance	Why	Who	Record/Documented Information
27	Asset management plan(s)	How has the organisation communicated its plan(s) to all relevant parties to a level of detail appropriate to the receiver's role in their delivery?	3	Section 5.4 Capital Expenditure Planning in the AMP sets out the 10 year indicative work program that includes the scope and timing projects. This is consolidated at Section 9.1 and sorted by spend driver. The OpEx is presented in Section 9.2 as a narrative and in Section 6.1 as an Operational Expenditure Forecast spreadsheet.	S.Reed indicated that DELTA are given the AMP which includes a 10 year work program, but it is not clear that other electrical contractors bother to read the AMP even though it is available on the website. M.Braden indicated that detailed work programs are based on asset inspection results and provided	Plans will be ineffective unless they are communicated to all those, including contracted suppliers and those who undertake enabling function(s). The plan(s) need to be communicated in a way that is relevant to those who need to use them.	The management team with overall responsibility for the asset management system. Delivery functions and suppliers.	Distribution lists for plan(s). Documents derived from plan(s) which detail the receivers role in plan delivery. Evidence of communication.
29	Asset management plan(s)	How are designated responsibilities for delivery of asset plan actions documented?	3	Section 2.6 of the AMP describes each NEL staff members role in detail. The AMP also sets out the Board and General Manager's delegated authorities.	S.Reed indicated that the AMP describes AM responsibilities, and that Job Descriptions also include key AM responsibilities. Because of the small staff numbers at NEL, the inputs to the AMP is a collaborative effort. NEL also has established delegated authorities.	The implementation of asset management plan(s) relies on (1) actions being clearly identified, (2) an owner allocated and (3) that owner having sufficient delegated responsibility and authority to carry out the work required. It also requires alignment of actions across the organisation. This question explores how well the plan(s) set out responsibility for delivery of asset plan actions.	The management team with overall responsibility for the asset management system. Operations, maintenance and engineering managers. If appropriate, the performance management team.	The organisation's asset management plan(s). Documentation defining roles and responsibilities of individuals and organisational departments.
31	Asset management plan(s)	What has the organisation done to ensure that appropriate arrangements are made available for the efficient and cost effective implementation of the plan(s)? (Note this is about resources and enabling support)	2	There is no evidence that resources are inadequate eg. increasing backlogs of work. Implementation of the plan is evidenced in Section 9.1 Capital Expenditure which summarises Capital and Operational expenditure and progress for the past financial year.	S.Reed indicated that there is no sign that NEL's engineering resources are inadequate. Additional engineering expertise is available from NTL. There is some flexibility with planned work if DELTA need to focus on emergency work. Although engineering succession planning is regularly discussed, it is not clear that a firm plan is in place. P.Goodall indicated that credible tenders were received from the contracting industry in response to the RFP for what is now the DELTA contract.	It is essential that the plan(s) are realistic and can be implemented, which requires appropriate resources to be available and enabling mechanisms in place. This question explores how well this is achieved. The plan(s) not only need to consider the resources directly required and timescales, but also the enabling activities, including for example, training requirements, supply chain capability and procurement timescales.	The management team with overall responsibility for the asset management system. Operations, maintenance and engineering managers. If appropriate, the performance management team. Where appropriate the procurement team and service providers working on the organisation's asset-related activities.	The organisation's asset management plan(s). Documented processes and procedures for the delivery of the asset management plan.
33	Contingency planning	What plan(s) and procedure(s) does the organisation have for identifying and responding to incidents and emergency situations and ensuring continuity of critical asset management activities?	3	The Emergency Recovery Plan has been inspected, and appears consistent with other EDB's Plans.	S.Reed confirmed that an Emergency Recovery Plan is in place. This plan identifies the additional field service resources that are available. Alignment with NTL and the NCC has been confirmed. This alignment is complemented by NEL's regular attendance at Lifelines meetings.	Widely used AM practice standards require that an organisation has plan(s) to identify and respond to emergency situations. Emergency plan(s) should outline the actions to be taken to respond to specified emergency situations and ensure continuity of critical asset management activities including the communication to, and involvement of, external agencies. This question assesses if, and how well, these plan(s) triggered, implemented and resolved in the event of an incident. The plan(s) should be appropriate to the level of risk as determined by the organisation's risk assessment methodology. It is also a requirement that relevant personnel are competent and trained.	The manager with responsibility for developing emergency plan(s). The organisation's risk assessment team. People with designated duties within the plan(s) and procedure(s) for dealing with incidents and emergency situations.	The organisation's plan(s) and procedure(s) for dealing with emergencies. The organisation's risk assessments and risk registers.

SCHEDULE 13: REPORT ON ASSET MANAGEMENT MATURITY (cont)

Question No.	Function	Question	Score	Evidence—Summary	User Guidance	Why	Who	Record/Documented Information
37	Structure, authority and responsibilities	What has the organisation done to appoint member(s) of its management team to be responsible for ensuring that the organisation's assets deliver the requirements of the asset management strategy, objectives and plan(s)?	3	Section 2.6 of the AMP records the General Manager's responsibilities and authorities.	P.Goodall has been appointed to manage NEL's daily activities under the delegated authority of the Board.	In order to ensure that the organisation's assets and asset systems deliver the requirements of the asset management policy, strategy and objectives responsibilities need to be allocated to appropriate people who have the necessary authority to fulfil their responsibilities. (This question, relates to the organisation's assets eg, para b), s 4.4.1 of PAS 55, making it therefore distinct from the requirement contained in para a), s 4.4.1 of PAS 55).	Top management. People with management responsibility for the delivery of asset management policy, strategy, objectives and plan(s). People working on asset-related activities.	Evidence that managers with responsibility for the delivery of asset management policy, strategy, objectives and plan(s) have been appointed and have assumed their responsibilities. Evidence may include the organisation's documents relating to its asset management system, organisational charts, job descriptions of post-holders, annual targets/objectives and personal development plan(s) of post-holders as appropriate.
40	Structure, authority and responsibilities	What evidence can the organisation's top management provide to demonstrate that sufficient resources are available for asset management?	3	Discussions with P.Goodall indicated that there is no clear evidence of under-staffing either within NEL or within DELTA, as measured by an increasing backlog of work not done. This is notwithstanding a constant minor backlog of work (eg, wet day jobs) and an acceptance of some flexibility with field crews (eg, pulling staff off planned maintenance during big storms).	P.Goodall confirmed that there was been interest from the electrical contracting industry for NEL's O&M contract. S.Reed indicated that there are no backlogs of engineering or planning work, inspections or maintenance. Although the minor CapEx budget is sometimes under spent (genuine reasons such as NCC prohibiting street openings during national events, or subdivisions not proceeding) there is no evidence that asset condition is declining. The AMP anticipates increasing renewals, however no resourcing plans are in place yet.	Optimal asset management requires top management to ensure sufficient resources are available. In this context the term 'resources' includes manpower, materials, funding and service provider support.	Top management. The management team that has overall responsibility for asset management. Risk management team. The organisation's managers involved in day-to-day supervision of asset-related activities, such as frontline managers, engineers, foremen and chargehands as appropriate.	Evidence demonstrating that asset management plan(s) and/or the process(es) for asset management plan implementation consider the provision of adequate resources in both the short and long term. Resources include funding, materials, equipment, services provided by third parties and personnel (internal and service providers) with appropriate skills competencies and knowledge.
42	Structure, authority and responsibilities	To what degree does the organisation's top management communicate the importance of meeting its asset management requirements?	3	Section 2.6 of the AMP records that the Board meeting agenda includes outage data, safety performance, works performance and financial performance.	S.Reed indicated that the requirement to report SAIDI, O&M and Capex to the Board places a continual emphasis on AM outcomes. In a very small company such as NEL, events such as outages or asset failures involve all 4 staff. All field services contracts require the contractor to guarantee their work for 5 years, emphasising the importance that NEL places on supply reliability.	Widely used AM practice standards require an organisation to communicate the importance of meeting its asset management requirements such that personnel fully understand, take ownership of, and are fully engaged in the delivery of the asset management requirements (eg, PAS 55 s 4.4.1 g).	Top management. The management team that has overall responsibility for asset management. People involved in the delivery of the asset management requirements.	Evidence of such activities as road shows, written bulletins, workshops, team talks and management walk-arounds would assist an organisation to demonstrate it is meeting this requirement of PAS 55.
45	Outsourcing of asset management activities	Where the organisation has outsourced some of its asset management activities, how has it ensured that appropriate controls are in place to ensure the compliant delivery of its organisational strategic plan and its asset management policy and strategy?	3	The Network Extension Design & Construction Standards manual has been inspected. A tender RFP for a new 11kV substation was inspected, and confirmed as embodying suitable controls such as references to NEL's design and construction standards, the NCC street works standards, as-built requirements etc.	S.Reed confirmed that NEL controls work quality using the Design Standards Manual, Construction Standards Manual and various maintenance procedures. For minor works contractors complete an audit check-list of key safety and quality items for each job, and M.Braden audits a sample of those check-lists. The major project completion check-list includes a range of safety and quality items to be signed off by S.Reed. There have been instances of errors eg, NCC have not advised NEL of altered road configuration (DELTA has amended its cable location policy) eg, a contractor installed NEL's fuse configurations in pillar boxes (corrected at contractor's expense). P.Goodall indicated that the DELTA contract includes some processes for ordering re-work of sub-standard work.	Where an organisation chooses to outsource some of its asset management activities, the organisation must ensure that these outsourced process(es) are under appropriate control to ensure that all the requirements of widely used AM standards (eg, PAS 55) are in place, and the asset management policy, strategy objectives and plan(s) are delivered. This includes ensuring capabilities and resources across a time span aligned to life cycle management. The organisation must put arrangements in place to control the outsourced activities, whether it be to external providers or to other in-house departments. This question explores what the organisation does in this regard.	Top management. The management team that has overall responsibility for asset management. The manager(s) responsible for the monitoring and management of the outsourced activities. People involved with the procurement of outsourced activities. The people within the organisations that are performing the outsourced activities. The people impacted by the outsourced activity.	The organisation's arrangements that detail the compliance required of the outsourced activities. For example, this could form part of a contract or service level agreement between the organisation and the suppliers of its outsourced activities. Evidence that the organisation has demonstrated to itself that it has assurance of compliance of outsourced activities.

SCHEDULE 13: REPORT ON ASSET MANAGEMENT MATURITY (cont)

Question No.	Function	Question	Score	Evidence—Summary	User Guidance	Why	Who	Record/document information
48	Training, awareness and competence	How does the organisation develop plan(s) for the human resources required to undertake asset management activities - including the development and delivery of asset management strategy, process(es), objectives and plan(s)?		General Manager reports to directors on staffing requirements and management review options. Management agreements with shareholders to provide backup resources if required.	The General Manager reviews the human resource requirements to undertake the asset management activities as well as other parts of the business operation. This includes succession management and backup options within the organisation and outside should there be a need due changes in the requirements or there be a short or long term staffing shortage.	There is a need for an organisation to demonstrate that it has considered what resources are required to develop and implement its asset management system. There is also a need for the organisation to demonstrate that it has assessed what development plan(s) are required to provide its human resources with the skills and competencies to develop and implement its asset management systems. The timescales over which the plan(s) are relevant should be commensurate with the planning horizons within the asset management strategy considers e.g. if the asset management strategy considers 5, 10 and 15 year time scales then the human resources development plan(s) should align with these. Resources include both 'in house' and external resources who undertake asset management activities.	Senior management responsible for agreement of plan(s). Managers responsible for developing asset management strategy and plan(s). Managers with responsibility for development and recruitment of staff (including HR functions). Staff responsible for training. Procurement officers. Contracted service providers.	Evidence of analysis of future work load plan(s) in terms of human resources. Document(s) containing analysis of the organisation's own direct resources and contractors resource capability over suitable timescales. Evidence, such as minutes of meetings, that suitable management forums are monitoring human resource development plan(s). Training plan(s), personal development plan(s), contract and service level agreements.
49	Training, awareness and competence	How does the organisation identify competency requirements and then plan, provide and record the training necessary to achieve the competencies?	3	Contractor safety training and authorisation records have been inspected.	S.Reed confirmed that field services safety training and competencies are done to a very high level. External contractors including DELTA have to provide evidence of individual staff training and competency. Relevant courses are attended by NEL staff, staff regularly attend the annual EEA conference. New assets include a demonstration by the supplier, and NEL will compile operating instructions. The AMP anticipates an increased number of field services contractors will be required in the medium-to-long term, and that the required competencies will be available as the network ages.	Widely used AM standards require that organisations to undertake a systematic identification of the asset management awareness and competencies required at each level and function within the organisation. Once identified the training required to provide the necessary competencies should be planned for delivery in a timely and systematic way. Any training provided must be recorded and maintained in a suitable format. Where an organisation has contracted service providers in place then it should have a means to demonstrate that this requirement is being met for their employees. (eg, PAS 55 refers to frameworks suitable for identifying competency requirements).	Senior management responsible for agreement of plan(s). Managers responsible for developing asset management strategy and plan(s). Managers with responsibility for development and recruitment of staff (including HR functions). Staff responsible for training. Procurement officers. Contracted service providers.	Evidence of an established and applied competency requirements assessment process and plan(s) in place to deliver the required training. Evidence that the training programme is part of a wider, co-ordinated asset management activities training and competency programme. Evidence that training activities are recorded and that records are readily available (for both direct and contracted service provider staff) e.g. via organisation wide information system or local records database.
50	Training, awareness and competence	How does the organisation ensure that persons under its direct control undertaking asset management related activities have an appropriate level of competence in terms of education, training or experience?	3	A tender request for construction of an 11kV substation has been inspected, and clearly sets out that only AHC authorised contractors can bid for the work. DELTA's responses to the Faults and the Preventive Maintenance tenders have been inspected, and clearly state DELTA's health and safety policies.	S.Reed confirmed that NEL has tight controls to ensure that only AHC approved contractors can access, operate or work on the network. Specialist resources such as civil works would be sub-contracted by the lead AHC approved electrical contractor, however NEL's tender documents specify that relevant safety and design codes must be met. Random daily site visits are carried out during projects to ensure that NEL Standards are being adhered to. Photographic records are captured and filed.	A critical success factor for the effective development and implementation of an asset management system is the competence of persons undertaking these activities. organisations should have effective means in place for ensuring the competence of employees to carry out their designated asset management function(s). Where an organisation has contracted service providers undertaking elements of its asset management system then the organisation shall assure itself that the outsourced service provider also has suitable arrangements in place to manage the competencies of its employees. The organisation should ensure that the individual and corporate competencies it requires are in place and actively monitor, develop and maintain an appropriate balance of these competencies.	Managers, supervisors, persons responsible for developing training programmes. Staff responsible for procurement and service agreements. HR staff and those responsible for recruitment.	Evidence of a competency assessment framework that aligns with established frameworks such as the asset management Competencies Requirements Framework (Version 2.0); National Occupational Standards for Management and Leadership; UK Standard for Professional Engineering Competence, Engineering Council, 2005.

SCHEDULE 13: REPORT ON ASSET MANAGEMENT MATURITY (cont)

Question No.	Function	Question	Score	Evidence-Summary	User Guidance	Why	Who	Record/documented information
53	Communication, participation and consultation	How does the organisation ensure that pertinent asset management information is effectively communicated to and from employees and other stakeholders, including contracted service providers?	3	Close-in inspection reports were examined, and S.Reed discussed the process for scoping the close-in inspection based on the routine inspection results.	S.Reed indicated that asset inspection check sheets are systematically completed and passed back to NEL from DELTA for data entry and action. The works auditing program results in a comprehensive report that may result in targeted inspections. It is noted that changing pole inspectors resulted in a different threshold being adopted and a consequent increase in pole maintenance - this was a key reason for adopting a 2nd tier of close-in inspections before ordering replacement.	Widely used AM practice standards require that pertinent asset management information is effectively communicated to and from employees and other stakeholders including contracted service providers. Pertinent information refers to information required in order to effectively and efficiently comply with and deliver asset management strategy, plan(s) and objectives. This will include for example the communication of the asset management policy, asset performance information, and planning information as appropriate to contractors.	Top management and senior management representative(s), employee representative(s), employee's trade union representative(s); contracted service provider management and employee representative(s); representative(s) from the organisation's Health, Safety and Environmental team. Key stakeholder representative(s).	Asset management policy statement prominently displayed on notice boards, intranet and internet; use of organisation's website for displaying asset performance data; evidence of formal briefings to employees, stakeholders and contracted service providers; evidence of inclusion of asset management issues in team meetings and contracted service provider contract meetings; newsletters, etc.
59	Asset Management System documentation	What documentation has the organisation established to describe the main elements of its asset management system and interactions between them?	3	Sections 2.8 to 2.15 of the AMP describe the key AM systems, the data contained and typical user requirements.		Widely used AM practice standards require an organisation maintain up to date documentation that ensures that its asset management systems (ie, the standards) can be understood, communicated and operated. (eg, s 4.5 of PAS 55 requires the maintenance of up to date documentation of the asset management system requirements specified throughout s 4 of PAS 55).	The management team that has overall responsibility for asset management. Managers engaged in asset management activities.	The documented information describing the main elements of the asset management system (process(es)) and their interaction.
62	Information management	What has the organisation done to determine what its asset management information system(s) should contain in order to support its asset management system?		Each above ground and critical underground assets are checked or tested on a regular basis and the results entered in an Asset Database and GIS. The information gathered is used for either network reinforcement, asset maintenance or benchmarking.	S.Reed indicated that there is a small number of assets (about 2% by number) where the data requirements are not yet accurately reflected in NEL's data environment. It is noted that most of the checks are generic, and that there may be instances where a check sheet needs to be amended eg. where vacuum needs to be checked rather than oil level - a degree of common sense is used by the contractor. NEL does not believe that any critical safety or asset integrity issues are being overlooked as a result of this slight mis-match	Effective asset management requires appropriate information to be available. Widely used AM standards therefore require the organisation to identify the asset management information it requires in order to support its asset management system. Some of the information required may be held by suppliers. The maintenance and development of asset management information systems is a poorly understood specialist activity that is akin to IT management but different from IT management. This group of questions provides some indications as to whether the capability is available and applied. Note: To be effective, an asset information management system requires the mobilisation of technology, people and process(es) that create, secure, make available and destroy the information required to support the asset management system.	The organisation's strategic planning team. The management team that has overall responsibility for asset management. Information management team. Operations, maintenance and engineering managers	Details of the process the organisation has employed to determine what its asset information system should contain in order to support its asset management system. Evidence that this has been effectively implemented.
63	Information management	How does the organisation maintain its asset management information system(s) and ensure that the data held within it (them) is of the requisite quality and accuracy and is consistent?	3	The document control system has been inspected on a previous occasion. The RFP for the DELTA has been inspected, and confirmed that it requires fault data and as-builts to be returned to NEL.	S.Reed confirmed that K.Homan manages the document control system which requires approval to amend policies, standards etc. K.Homan confirmed that she follows up incomplete or doubtful inspection check sheets with the contractor. The RFP for the DELTA contract specified that information feedback to NEL is a key aspect of the contract. It is noted that a change of pole inspector lead to an increased number of defects being reported, and this was addressed by inserting a 2nd tier of close-in inspections before ordering replacement	The response to the questions is progressive. A higher scale cannot be awarded without achieving the requirements of the lower scale. This question explores how the organisation ensures that information management meets widely used AM practice requirements (eg, s 4.4.6 (a), (c) and (d) of PAS 55).	The management team that has overall responsibility for asset management. Users of the organisational information systems.	The asset management information system, together with the policies, procedure(s), improvement initiatives and audits regarding information controls.

SCHEDULE 13: REPORT ON ASSET MANAGEMENT MATURITY (cont)

Question No.	Function	Question	Score	Evidence—Summary	User Guidance	Why	Who	Record/Documented Information
64	Information management	How has the organisation's ensured its asset management information system is relevant to its needs?		NEL has standardised on a small number of common classes of assets which has allowed benchmarks for each to be established and each asset to be monitored against the benchmark. The safety record and network reliability is the best indicator of whether the management information system is meeting the company's needs.	S.Reed confirmed that NEL has standardised assets, and over time the AM IS needs have become well aligned. NEL does recognise that new or different types of assets (but not new classes of assets) are being introduced due to technology changes, supplier obsolescence etc. NEL recognises that its processes for amending lifecycle procedures are informal, but NEL is guided by best industry practice when making amendments.	Widely used AM standards need not be prescriptive about the form of the asset management information system, but simply require that the asset management information system is appropriate to the organisations needs, can be effectively used and can supply information which is consistent and of the requisite quality and accuracy.	The organisation's strategic planning team. The management team that has overall responsibility for asset management. Information management team. Users of the organisational information systems.	The documented process the organisation employs to ensure its asset management information system aligns with its asset management requirements. Minutes of information systems review meetings involving users.
69	Risk management process(es)	How has the organisation documented process(es) and/or procedure(s) for the identification and assessment of asset and asset management related risks throughout the asset life cycle?	3	NEL's valid PSMs certificate has been inspected. The Network Extension Design & Construction Standards have been inspected, and confirmed as embodying standards that minimise safety and reliability risks. Commissioning sheets have been inspected.	S.Reed confirmed that asset integrity risks are addressed thru' the Design Standards Manual and the Construction Standards Manual eg. NEL does not use 11kV XLPE cable, where avoidable, due to bad experiences with water treeing. The asset inspection process is used to minimise the risks to public safety and supply interruption, and the insertion of a 2nd tier of close-in inspections provides additional assurance. There are also post-completion inspections of all new connection points (fuses and pillars) and a sample of maintenance work. The review of numbers of pole defects and the subsequent insertion of close-in inspections gives evidence that data consistency issues are considered.	Risk management is an important foundation for proactive asset management. Its overall purpose is to understand the cause, effect and likelihood of adverse events occurring, to optimally manage such risks to an acceptable level, and to provide an audit trail for the management of risks. Widely used standards require the organisation to have process(es) and/or procedure(s) in place that set out how the organisation identifies and assesses asset and asset management related risks. The risks have to be considered across the four phases of the asset lifecycle (eg. para 4.3.3 of PAS 55).	The top management team in conjunction with the organisation's senior risk management representatives. There may also be input from the organisation's Safety, Health and Environment team. Staff who carry out risk identification and assessment.	The organisation's risk management framework and/or evidence of specific process(es) and/or procedure(s) that deal with risk control mechanisms. Evidence that the process(es) and/or procedure(s) are implemented across the business and maintained. Evidence of agendas and minutes from risk management meetings. Evidence of feedback in to process(es) and/or procedure(s) as a result of incident investigation(s). Risk registers and assessments.
79	Use and maintenance of asset risk information	How does the organisation ensure that the results of risk assessments provide input into the identification of adequate resources and training and competency needs?		NEL continually monitors its Service Levels and addresses any deficiencies with its Faults Service and Maintenance provider.	S.Reed indicated that the number and nature of network defects is stable, and that the current number and competency mix is sufficient. NEL acknowledges that as certain asset classes eg. 11kV cables transition into end-of-life, that field services numbers and competencies may need to increase.	Widely used AM standards require that the output from risk assessments are considered and that adequate resource (including staff) and training is identified to match the requirements. It is a further requirement that the effects of the control measures are considered, as there may be implications in resources and training required to achieve other objectives.	Staff responsible for risk assessment and those responsible for developing and approving resource and training plan(s). There may also be input from the organisation's Safety, Health and Environment team.	The organisations risk management framework. The organisation's resourcing plan(s) and training and competency plan(s). The organisation should be able to demonstrate appropriate linkages between the content of resource plan(s) and training and competency plan(s) to the risk assessments and risk control measures that have been developed.
82	Legal and other requirements	What procedure does the organisation have to identify and provide access to its legal, regulatory, statutory and other asset management requirements, and how is requirements incorporated into the asset management system?		NEL is a member of the Electricity Networks Association and Electricity Engineers Association. Both of these organisations are proactive in engaging with networks on legal, regulatory, statutory and other asset management systems. NEL also keep abreast through other industry forums.	P.Goodall indicated that NEL has a general awareness of primary legislative and regulatory requirements, but only some systematic analysis. NEL does rely on external advice including comprehensive advice from both shareholders as part of their management agreements.	In order for an organisation to comply with its legal, regulatory, statutory and other asset management requirements, the organisation first needs to ensure that it knows what they are (eg. PAS 55 specifies this in s 4.4.8). It is necessary to have systematic and auditable mechanisms in place to identify new and changing requirements. Widely used AM standards also require that requirements are incorporated into the asset management system (e.g. procedure(s) and process(es)).	Top management. The organisations regulatory team. The organisation's legal team or advisors. The management team with overall responsibility for the asset management system. The organisation's health and safety team or advisors. The organisation's policy making team.	The organisational processes and procedures for ensuring information of this type is identified, made accessible to those requiring the information and is incorporated into asset management strategy and objectives

Company Name

NELSON ELECTRICITY LTD

AMP Planning Period

Asset Management Standard Applied

SCHEDULE 13: REPORT ON ASSET MANAGEMENT MATURITY (cont)

Question No.	Function	Question	Score	Evidence—Summary	User Guidance	Why	Who	Record/Documented Information
88	Life Cycle Activities	How does the organisation establish implement and maintain process(es) for the implementation of its asset management plan(s) and control of activities across the creation, acquisition or enhancement of assets. This includes design, modification, procurement, construction and commissioning activities?	3	The Network Extension Design & Construction Standards manual has been inspected. This manual is referred to in the RFP for construction of an 11kV substation. The document control system has been inspected on a previous occasion.	S.Reed indicated that contracting out of field services was a major driver for compiling detailed standards and procedures. This occurred against a slowly evolving industry background that included issues such as worker safety, public safety, increasing pressure for supply continuity, reporting etc. These policies and standards are now mature and are controlled by a document management system.	Life cycle activities are about the implementation of asset management plan(s) i.e. they are the "doing" phase. They need to be done effectively and well in order for asset management to have any practical meaning. As a consequence, widely used standards (eg. PAS 55 s 4.5.1) require organisations to have in place appropriate process(es) and procedure(s) for the implementation of asset management plan(s) and control of lifecycle activities. This question explores those aspects relevant to asset creation.	Asset managers, design staff, construction staff and project managers from other impacted areas of the business, e.g. Procurement	Documented process(es) and procedure(s) which are relevant to demonstrating the effective management and control of life cycle activities during asset creation, acquisition, enhancement including design, modification, procurement, construction and commissioning.
91	Life Cycle Activities	How does the organisation ensure that process(es) and/or procedure(s) for the implementation of asset management plan(s) and control of activities during maintenance (and inspection) of assets are sufficient to ensure activities are carried out under specified conditions, are consistent with asset management strategy and control cost, risk and performance?	3	The Network Extension Design & Construction Standards manual has been inspected. This manual is referred to in the RFP for construction of an 11kV substation. The RFP for the Preventive Maintenance contract has been inspected, and confirmed that NEL's objectives of safety and supply continuity are embodied in the contract. The RFP also includes various check sheets that are aligned to asset condition, safety and reliability objectives.	S.Reed indicated that AM processes and activities are controlled thru' the use of standards such as Design Standards Manual, the Construction Standards Manual, maintenance procedures, inspection check sheets etc. These standards reflect asset integrity and cost drivers, and are themselves controlled thru' a document control system. These asset quality, safety and reliability requirements are reflected in field services contracts.	Having documented process(es) which ensure the asset management plan(s) are implemented in accordance with any specified conditions, in a manner consistent with the asset management policy, strategy and objectives and in such a way that cost, risk and asset system performance are appropriately controlled is critical. They are an essential part of turning intention into action (eg. as required by PAS 55 s 4.5.1).	Asset managers, operations managers, maintenance managers and project managers from other impacted areas of the business	Documented procedure for review. Documented procedure for audit of process delivery. Records of previous audits, improvement actions and documented confirmation that actions have been carried out.
95	Performance and condition monitoring	How does the organisation measure the performance and condition of its assets?	3	Asset inspection check sheets have been inspected. The NEL Board report for October 2012 was examined, and reporting of SAIDI and key works (33kV substation) was confirmed.	S.Reed confirmed that asset condition is routinely assessed by ground-level inspections with a 2nd tier of close-in inspections if asset condition is in doubt. All major assets such as transformer kiosks are inspected every 6 months. This includes MDI and voltage readings to ensure that overloading is not occurring. Key performance measures that are reported on monthly to the General Manager include SAIDI, number of faults, description of faults causing more than 1 SAIDI minute, physical progress of CapEx works, financial performance of CapEx works, and financial performance of OpEx.	Widely used AM standards require that organisations establish implement and maintain procedure(s) to monitor and measure the performance and/or condition of assets and asset systems. They further set out requirements in some detail for reactive and proactive monitoring, and leading/lagging performance indicators together with the monitoring or results to provide input to corrective actions and continual improvement. There is an expectation that performance and condition monitoring will provide input to improving asset management strategy, objectives and plan(s).	A broad cross-section of the people involved in the organisation's asset-related activities from data input to decision-makers, i.e. an end-to-end assessment. This should include contactors and other relevant third parties as appropriate.	Functional policy and/or strategy documents for performance or condition monitoring and measurement. The organisation's performance monitoring frameworks, balanced scorecards etc. Evidence of the reviews of any appropriate performance indicators and the action lists resulting from these reviews. Reports and trend analysis using performance and condition information. Evidence of the use of performance and condition information shaping improvements and supporting asset management strategy, objectives and plan(s).
99	Investigation of asset-related failures, incidents and nonconformities	How does the organisation ensure responsibility and the authority for the handling, investigation and mitigation of asset-related failures, incidents and emergency situations and non conformances is clear, unambiguous, understood and communicated?	3	Pg 2 of the Emergency Recovery Plan describes the authorities and duties for civil emergency situations. This is also described in Section 7.11 of the AMP.	S.Reed indicated that asset failures are investigated. Actions taken may include inspection of similar assets (eg Andelect RMU's), redesign of assets (eg. underground transformer vaults), amending standards to ensure problematic asset configurations are avoided.	Widely used AM standards require that the organisation establishes implements and maintains process(es) for the handling and investigation of failures incidents and non-conformities for assets and sets down a number of expectations. Specifically this question examines the requirement to define clearly responsibilities and authorities for these activities, and communicate these unambiguously to relevant people including external stakeholders if appropriate.	The organisation's safety and environment management team. The team with overall responsibility for the management of the assets. People who have appointed roles within the asset-related investigation procedure, from those who carry out the investigations to senior management who review the recommendations. Operational controllers responsible for managing the asset base under fault conditions and maintaining services to consumers. Contractors and other third parties as appropriate.	Process(es) and procedure(s) for the handling, investigation and mitigation of asset-related failures, incidents and emergency situations and non conformances. Documentation of assigned responsibilities and authority to employees. Job Descriptions, Audit reports. Common communication systems i.e. all Job Descriptions on Internet etc.

SCHEDULE 13: REPORT ON ASSET MANAGEMENT MATURITY (cont)

Question No.	Function	Question	Score	Evidence—Summary	User Guidance	Why	Who	Record/Documented Information
105	Audit	What has the organisation done to establish procedure(s) for the audit of its asset management system (process(es))?	3	The TELARC assessment report of the SMS dated 30th May 2012 is on hand. An ESS audit report from December 2010 was also inspected.	S.Reed confirmed that AM policies and procedures have been reviewed as part of the SMS compilation, and then the SMS audit. NEL's policies and assets have been inspected by Energy Safety. The AMP has been prepared by an independent expert (about 10 years ago), is regularly reviewed by NTL and is assessed by the Commerce Commission.	This question seeks to explore what the organisation has done to comply with the standard practice AM audit requirements (eg, the associated requirements of PAS 55 s 4.6.4 and its linkages to s 4.7).	The management team responsible for its asset management procedure(s). The team with overall responsibility for the management of the assets. Audit teams, together with key staff responsible for asset management. For example, Asset Management Director, Engineering Director. People with responsibility for carrying out risk assessments	The organisation's asset-related audit procedure(s). The organisation's methodology(s) by which it determined the scope and frequency of the audits and the criteria by which it identified the appropriate audit personnel. Audit schedules, reports etc. Evidence of the procedure(s) by which the audit results are presented, together with any subsequent communications. The risk assessment schedule or risk registers.
109	Corrective & Preventative action	How does the organisation instigate appropriate corrective and/or preventive actions to eliminate or prevent the causes of identified poor performance and non conformance?	3	The Network Extension Design & Construction Standards manual has been inspected. Commissioning sheets have been examined.	S.Reed confirmed that standards and procedures are used to build appropriate levels of safety and reliability into assets, that works are inspected after completion, that as-built inspections result in prioritised remedial work.	Having investigated asset related failures, incidents and non-conformances, and taken action to mitigate their consequences, an organisation is required to implement preventative and corrective actions to address root causes. Incident and failure investigations are only useful if appropriate actions are taken as a result to assess changes to a business risk profile and ensure that appropriate arrangements are in place should a recurrence of the incident happen. Widely used AM standards also require that necessary changes arising from preventive or corrective action are made to the asset management system.	The management team responsible for its asset management procedure(s). The team with overall responsibility for the management of the assets. Audit and incident investigation teams. Staff responsible for planning and managing corrective and preventative actions.	Analysis records, meeting notes and minutes, modification records. Asset management plan(s), investigation reports, audit reports, improvement programmes and projects. Recorded changes to asset management procedure(s) and process(es). Condition and performance reviews. Maintenance reviews
113	Continual Improvement	How does the organisation achieve continual improvement in the optimal combination of costs, asset related risks and the performance and condition of assets and asset systems across the whole life cycle?	3	Close-in inspection reports were examined, and S.Reed discussed the process for scoping the close-in inspection based on the routine inspection results.	S.Reed indicated that the 2 shareholders maintain a keen interest in continually optimising costs, asset inspection processes are amended eg, insertion of a 2nd tier of close-in inspections. NEL recognises that many of its processes appear optimal and is not clear that the incremental benefits of process improvement will outweigh the incremental costs.	Widely used AM standards have requirements to establish, implement and maintain process(es)/procedure(s) for identifying, assessing, prioritising and implementing actions to achieve continual improvement. Specifically there is a requirement to demonstrate continual improvement in optimisation of cost risk and performance/condition of assets across the life cycle. This question explores an organisation's capabilities in this area—looking for systematic improvement mechanisms rather than reviews and audit (which are separately examined).	The top management of the organisation. The manager/team responsible for managing the organisation's asset management system, including its continual improvement. Managers responsible for policy development and implementation.	Records showing systematic exploration of improvement. Evidence of new techniques being explored and implemented. Changes in procedure(s) and process(es) reflecting improved use of optimisation tools/techniques and available information. Evidence of working parties and research.
115	Continual Improvement	How does the organisation seek and acquire knowledge about new asset management related technology and practices, and evaluate their potential benefit to the organisation?		NEL Staff regularly attend relevant courses and conferences in order to maintain familiarity with best industry practice.	S.Reed indicated that NEL staff attend relevant courses, magazine articles are noted, involvement in IEA working parties, use of independent consultants, and advice from NTL.	One important aspect of continual improvement is where an organisation looks beyond its existing boundaries and knowledge base to look at what 'new things are on the market'. These new things can include equipment, process(es), tools, etc. An organisation which does this (eg, by the PAS 55 s 4.6 standards) will be able to demonstrate that it continually seeks to expand its knowledge of all things affecting its asset management approach and capabilities. The organisation will be able to demonstrate that it identifies any such opportunities to improve, evaluates them for suitability to its own organisation and implements them as appropriate. This question explores an organisation's approach to this activity.	The top management of the organisation. The manager/team responsible for managing the organisation's asset management system, including its continual improvement. People who monitor the various items that require monitoring for 'change'. People that implement changes to the organisation's policy, strategy, etc. People within an organisation with responsibility for investigating, evaluating, recommending and implementing new tools and techniques, etc.	Research and development projects and records, benchmarking and participation knowledge exchange professional forums. Evidence of correspondence relating to knowledge acquisition. Examples of change implementation and evaluation of new tools, and techniques linked to asset management strategy and objectives.

SCHEDULE 13: REPORT ON ASSET MANAGEMENT MATURITY (cont)

Question No.	Function	Question	Maturity Level 0	Maturity Level 1	Maturity Level 2	Maturity Level 3	Maturity Level 4
3	Asset management policy	To what extent has an asset management policy been documented, authorised and communicated?	The organisation does not have a documented asset management policy.	The organisation has an asset management policy, but it has not been authorised by top management, or it is not influencing the management of the assets.	The organisation has an asset management policy, which has been authorised by top management, but it has had limited circulation. It may be in use to influence development of strategy and planning but its effect is limited.	The asset management policy is authorised by top management, is widely and effectively communicated to all relevant employees and stakeholders, and used to make these persons aware of their asset related obligations.	The organisation's process(es) surpass the standard required to comply with requirements set out in a recognised standard. The assessor is advised to note in the Evidence section why this is the case and the evidence seen.
10	Asset management strategy	What has the organisation done to ensure that its asset management strategy is consistent with other appropriate organisational policies and strategies, and the needs of stakeholders?	The organisation has not considered the need to ensure that its asset management strategy is appropriately aligned with the organisation's other organisational policies and strategies or with stakeholder requirements. OR The organisation does not have an asset management strategy.	The need to align the asset management strategy with other organisational policies and strategies as well as stakeholder requirements is understood and work has started to identify the linkages or to incorporate them in the drafting of asset management strategy.	Some of the linkages between the long term asset management strategy and other organisational policies, strategies and stakeholder requirements are defined but the work is fairly well advanced but still incomplete.	All linkages are in place and evidence is available to demonstrate that, where appropriate, the organisation's asset management strategy is consistent with its other organisational policies and strategies. The organisation has also identified and considered the requirements of relevant stakeholders.	The organisation's process(es) surpass the standard required to comply with requirements set out in a recognised standard. The assessor is advised to note in the Evidence section why this is the case and the evidence seen.
11	Asset management strategy	In what way does the organisation's asset management strategy take account of the lifecycle of the assets, asset types and asset systems over which the organisation has stewardship?	The organisation has not considered the need to ensure that its asset management strategy is produced with due regard to the lifecycle of the assets, asset types or asset systems that it manages. OR The organisation does not have an asset management strategy.	The need is understood, and the organisation is drafting its asset management strategy to address the lifecycle of its assets, asset types and asset systems.	The long-term asset management strategy takes account of the lifecycle of some, but not all, of its assets, asset types and asset systems.	The asset management strategy takes account of the lifecycle of all of its assets, asset types and asset systems.	The organisation's process(es) surpass the standard required to comply with requirements set out in a recognised standard. The assessor is advised to note in the Evidence section why this is the case and the evidence seen.
26	Asset management plan(s)	How does the organisation establish and document its asset management plan(s) across the life cycle activities of its assets and asset systems?	The organisation does not have an identifiable asset management plan(s) covering asset systems and critical assets.	The organisation has asset management plan(s) but they are not aligned with the asset management strategy and objectives and do not take into consideration the full asset life cycle (including asset creation, acquisition, enhancement, utilisation, maintenance decommissioning and disposal).	The organisation is in the process of putting in place comprehensive, documented asset management plan(s) that cover all life cycle activities, clearly aligned to asset management objectives and the asset management strategy.	Asset management plan(s) are established, documented, implemented and maintained for asset systems and critical assets to achieve the asset management strategy and asset management objectives across all life cycle phases.	The organisation's process(es) surpass the standard required to comply with requirements set out in a recognised standard. The assessor is advised to note in the Evidence section why this is the case and the evidence seen.

SCHEDULE 13: REPORT ON ASSET MANAGEMENT MATURITY (cont)

Question No.	Function	Question	Maturity Level 0	Maturity Level 1	Maturity Level 2	Maturity Level 3	Maturity Level 4
27	Asset management plan(s)	How has the organisation communicated its plan(s) to all relevant parties to a level of detail appropriate to the receiver's role in their delivery?	The organisation does not have plan(s) or their distribution is limited to the authors.	The plan(s) are communicated to some of those responsible for delivery of the plan(s). OR Communicated to those responsible for delivery is either irregular or ad-hoc.	The plan(s) are communicated to most of those responsible for delivery but there are weaknesses in identifying relevant parties resulting in incomplete or inappropriate communication. The organisation recognises improvement is needed as is working towards resolution.	The plan(s) are communicated to all relevant employees, stakeholders and contracted service providers to a level of detail appropriate to their participation or business interests in the delivery of the plan(s) and there is confirmation that they are being used effectively.	The organisation's process(es) surpass the standard required to comply with requirements set out in a recognised standard. The assessor is advised to note in the Evidence section why this is the case and the evidence seen.
29	Asset management plan(s)	How are designated responsibilities for delivery of asset plan actions documented?	The organisation has not documented responsibilities for delivery of asset plan actions.	Asset management plan(s) inconsistently document responsibilities for delivery of plan actions and activities and/or responsibilities and authorities for implementation inadequate and/or delegation level inadequate to ensure effective delivery and/or contain misalignments with organisational accountability.	Asset management plan(s) consistently document responsibilities for the delivery of actions but responsibility/authority levels are inappropriate/ inadequate, and/or there are misalignments within the organisation.	Asset management plan(s) consistently document responsibilities for the delivery actions and there is adequate detail to enable delivery of actions. Designated responsibility and authority for achievement of asset plan actions is appropriate.	The organisation's process(es) surpass the standard required to comply with requirements set out in a recognised standard. The assessor is advised to note in the Evidence section why this is the case and the evidence seen.
31	Asset management plan(s)	What has the organisation done to ensure that appropriate arrangements are made available for the efficient and cost effective implementation of the plan(s)? (Note this is about resources and enabling support)	The organisation has not considered the arrangements needed for the effective implementation of plan(s).	The organisation recognises the need to ensure appropriate arrangements are in place for implementation of asset management plan(s) and is in the process of determining an appropriate approach for achieving this.	The organisation has arrangements in place for the implementation of asset management plan(s) but the arrangements are not yet adequately efficient and/or effective. The organisation is working to resolve existing weaknesses.	The organisation's arrangements fully cover all the requirements for the efficient and cost effective implementation of asset management plan(s) and realistically address the resources and timescales required, and any changes needed to functional policies, standards, processes and the asset management information system.	The organisation's process(es) surpass the standard required to comply with requirements set out in a recognised standard. The assessor is advised to note in the Evidence section why this is the case and the evidence seen.
33	Contingency planning	What plan(s) and procedure(s) does the organisation have for identifying and responding to incidents and emergency situations and ensuring continuity of critical asset management activities?	The organisation has not considered the need to establish plan(s) and procedure(s) to identify and respond to incidents and emergency situations.	The organisation has some ad-hoc arrangements to deal with incidents and emergency situations, but these have been developed on a reactive basis in response to specific events that have occurred in the past.	Most credible incidents and emergency situations are identified. Either appropriate plan(s) and procedure(s) are incomplete for critical activities or they are inadequate. Training/ external alignment may be incomplete.	Appropriate emergency plan(s) and procedure(s) are in place to respond to credible incidents and manage continuity of critical asset management activities consistent with policies and asset management objectives. Training and external agency alignment is in place.	The organisation's process(es) surpass the standard required to comply with requirements set out in a recognised standard. The assessor is advised to note in the Evidence section why this is the case and the evidence seen.

SCHEDULE 13: REPORT ON ASSET MANAGEMENT MATURITY (cont)

Question No.	Function	Question	Maturity Level 0	Maturity Level 1	Maturity Level 2	Maturity Level 3	Maturity Level 4
37	Structure, authority and responsibilities	What has the organisation done to appoint member(s) of its management team to be responsible for ensuring that the organisation's assets deliver the requirements of the asset management strategy, objectives and plan(s)?	Top management has not considered the need to appoint a person or persons to ensure that the organisation's assets deliver the requirements of the asset management strategy, objectives and plan(s).	Top management understands the need to appoint a person or persons to ensure that the organisation's assets deliver the requirements of the asset management strategy, objectives and plan(s).	Top management has appointed an appropriate person to ensure the assets deliver the requirements of the asset management strategy, objectives and plan(s) but their areas of responsibility are not fully defined and/or they have insufficient delegated authority to fully execute their responsibilities.	The appointed person or persons have full responsibility for ensuring that the organisation's assets deliver the requirements of the asset management strategy, objectives and plan(s). They have been given the necessary authority to achieve this.	The organisation's process(es) surpass the standard required to comply with requirements set out in a recognised standard. The assessor is advised to note in the Evidence section why this is the case and the evidence seen.
40	Structure, authority and responsibilities	What evidence can the organisation's top management provide to demonstrate that sufficient resources are available for asset management?	The organisation's top management has not considered the resources required to deliver asset management.	The organisation's top management understands the need for sufficient resources but there are no effective mechanisms in place to ensure this is the case.	A process exists for determining what resources are required for its asset management activities and in most cases these are available but in some instances resources remain insufficient.	An effective process exists for determining the resources needed for asset management and sufficient resources are available. It can be demonstrated that resources are matched to asset management requirements.	The organisation's process(es) surpass the standard required to comply with requirements set out in a recognised standard. The assessor is advised to note in the Evidence section why this is the case and the evidence seen.
42	Structure, authority and responsibilities	To what degree does the organisation's top management communicate the importance of meeting its asset management requirements?	The organisation's top management has not considered the need to communicate the importance of meeting asset management requirements.	The organisation's top management understands the need to communicate the importance of meeting its asset management requirements but does not do so.	Top management communicates the importance of meeting its asset management requirements but only to parts of the organisation.	Top management communicates the importance of meeting its asset management requirements to all relevant parts of the organisation.	The organisation's process(es) surpass the standard required to comply with requirements set out in a recognised standard. The assessor is advised to note in the Evidence section why this is the case and the evidence seen.
45	Outsourcing of asset management activities	Where the organisation has outsourced some of its asset management activities, how has it ensured that appropriate controls are in place to ensure the compliant delivery of its organisational strategic plan and its asset management policy and strategy?	The organisation has not considered the need to put controls in place.	The organisation controls its outsourced activities on an ad-hoc basis, with little regard for ensuring the compliant delivery of the organisational strategic plan and/or its asset management policy and strategy.	Controls systematically considered but currently only provide for the compliant delivery of some, but not all, aspects of the organisational strategic plan and/or its asset management policy and strategy. Gaps exist.	Evidence exists to demonstrate that outsourced activities are appropriately controlled to provide for the compliant delivery of the organisational strategic plan, asset management policy and strategy, and that these controls are integrated into the asset management system.	The organisation's process(es) surpass the standard required to comply with requirements set out in a recognised standard. The assessor is advised to note in the Evidence section why this is the case and the evidence seen.

Company Name
AMP Planning Period
Asset Management Standard Applied

NELSON ELECTRICITY LTD

SCHEDULE 13: REPORT ON ASSET MANAGEMENT MATURITY (cont)

Question No.	Function	Question	Maturity Level 0	Maturity Level 1	Maturity Level 2	Maturity Level 3	Maturity Level 4
48	Training, awareness and competence	How does the organisation develop plan(s) for the human resources required to undertake asset management activities - including the development and delivery of asset management strategy, process(es), objectives and plan(s)?	The organisation has not recognised the need for assessing human resources requirements to develop and implement its asset management system.	The organisation has recognised the need to assess its human resources requirements and to develop a plan(s). There is limited recognition of the need to align these with the development and implementation of its asset management system.	The organisation has developed a strategic approach to aligning competencies and human resources to the asset management system including the asset management plan but the work is incomplete or has not been consistently implemented.	The organisation can demonstrate that plan(s) are in place and effective in matching competencies and capabilities to the asset management system including the plan for both internal and contracted activities. Plans are reviewed integral to asset management system process(es).	The organisation's process(es) surpass the standard required to comply with requirements set out in a recognised standard. The assessor is advised to note in the Evidence section why this is the case and the evidence seen.
49	Training, awareness and competence	How does the organisation identify competency requirements and then plan, provide and record the training necessary to achieve the competencies?	The organisation does not have any means in place to identify competency requirements.	The organisation has recognised the need to identify competency requirements and then plan, provide and record the training necessary to achieve the competencies.	The organisation is the process of identifying competency requirements aligned to the asset management plan(s) and then plan, provide and record appropriate training. It is incomplete or inconsistently applied.	Competency requirements are in place and aligned with asset management plan(s). Plans are in place and effective in providing the training necessary to achieve the competencies. A structured means of recording the competencies achieved is in place.	The organisation's process(es) surpass the standard required to comply with requirements set out in a recognised standard. The assessor is advised to note in the Evidence section why this is the case and the evidence seen.
50	Training, awareness and competence	How does the organization ensure that persons under its direct control undertaking asset management related activities have an appropriate level of competence in terms of education, training or experience?	The organization has not recognised the need to assess the competence of person(s) undertaking asset management related activities.	Competency of staff undertaking asset management related activities is not managed or assessed in a structured way, other than formal requirements for legal compliance and safety management.	The organization is in the process of putting in place a means for assessing the competence of person(s) involved in asset management activities including contractors. There are gaps and inconsistencies.	Competency requirements are identified and assessed for all persons carrying out asset management related activities - internal and contracted. Requirements are reviewed and staff reassessed at appropriate intervals aligned to asset management requirements.	The organisation's process(es) surpass the standard required to comply with requirements set out in a recognised standard. The assessor is advised to note in the Evidence section why this is the case and the evidence seen.

SCHEDULE 13: REPORT ON ASSET MANAGEMENT MATURITY (cont)

Question No.	Function	Question	Maturity Level 0	Maturity Level 1	Maturity Level 2	Maturity Level 3	Maturity Level 4
53	Communication, participation and consultation	How does the organisation ensure that pertinent asset management information is effectively communicated to and from employees and other stakeholders, including contracted service providers?	The organisation has not recognised the need to formally communicate any asset management information.	There is evidence that the pertinent asset management information to be shared along with those to share it with is being determined.	The organisation has determined pertinent information and relevant parties. Some effective two way communication is in place but as yet not all relevant parties are clear on their roles and responsibilities with respect to asset management information.	Two way communication is in place between all relevant parties, ensuring that information is effectively communicated to match the requirements of asset management strategy, plan(s) and process(es). Pertinent asset information requirements are regularly reviewed.	The organisation's process(es) surpass the standard required to comply with requirements set out in a recognised standard. The assessor is advised to note in the Evidence section why this is the case and the evidence seen.
59	Asset Management System documentation	What documentation has the organisation established to describe the main elements of its asset management system and interactions between them?	The organisation has not established documentation that describes the main elements of the asset management system.	The organisation is aware of the need to put documentation in place and is in the process of determining how to document the main elements of its asset management system.	The organisation in the process of documenting its asset management system and has documentation in place that describes some, but not all, of the main elements of its asset management system and their interaction.	The organisation has established documentation that comprehensively describes all the main elements of its asset management system and the interactions between them. The documentation is kept up to date.	The organisation's process(es) surpass the standard required to comply with requirements set out in a recognised standard. The assessor is advised to note in the Evidence section why this is the case and the evidence seen.
62	Information management	What has the organisation done to determine what its asset management information system(s) should contain in order to support its asset management system?	The organisation has not considered what asset management information is required.	The organisation is aware of the need to determine in a structured manner what its asset information system should contain in order to support its asset management system and is in the process of deciding how to do this.	The organisation has developed a structured process to determine what its asset information system should contain in order to support its asset management system and has commenced implementation of the process.	The organisation has determined what its asset information system should contain in order to support its asset management system. The requirements relate to the whole life cycle and cover information originating from both internal and external sources.	The organisation's process(es) surpass the standard required to comply with requirements set out in a recognised standard. The assessor is advised to note in the Evidence section why this is the case and the evidence seen.
63	Information management	How does the organisation maintain its asset management information system(s) and ensure that the data held within it (them) is of the requisite quality and accuracy and is consistent?	There are no formal controls in place or controls are extremely limited in scope and/or effectiveness.	The organisation is aware of the need for effective controls and is in the process of developing an appropriate control process(es).	The organisation has developed a controls that will ensure the data held is of the requisite quality and accuracy and is consistent and is in the process of implementing them.	The organisation has effective controls in place that ensure the data held is of the requisite quality and accuracy and is consistent. The controls are regularly reviewed and improved where necessary.	The organisation's process(es) surpass the standard required to comply with requirements set out in a recognised standard. The assessor is advised to note in the Evidence section why this is the case and the evidence seen.

SCHEDULE 13: REPORT ON ASSET MANAGEMENT MATURITY (cont)

Question No.	Function	Question	Maturity Level 0	Maturity Level 1	Maturity Level 2	Maturity Level 3	Maturity Level 4
64	Information management	How has the organisation's ensured its asset management information system is relevant to its needs?	The organisation has not considered the need to determine the relevance of its management information system. At present there are major gaps between what the information system provides and the organisations needs.	The organisation understands the need to ensure its asset management information system is relevant to its needs and is determining an appropriate means by which it will achieve this. At present there are significant gaps between what the information system provides and the organisations needs.	The organisation has developed and is implementing a process to ensure its asset management information system is relevant to its needs. Gaps between what the information system provides and the organisations needs have been identified and action is being taken to close them.	The organisation's asset management information system aligns with its asset management requirements. Users can confirm that it is relevant to their needs.	The organisation's process(es) surpass the standard required to comply with requirements set out in a recognised standard. The assessor is advised to note in the Evidence section why this is the case and the evidence seen.
69	Risk management process(es)	How has the organisation documented process(es) and/or procedure(s) for the identification and assessment of asset and asset management related risks throughout the asset life cycle?	The organisation has not considered the need to document process(es) and/or procedure(s) for the identification and assessment of asset and asset management related risks throughout the asset life cycle.	The organisation is aware of the need to document the management of asset related risk across the asset lifecycle. The organisation has plan(s) to formally document all relevant process(es) and procedure(s) or has already commenced this activity.	The organisation is in the process of documenting the identification and assessment of asset related risk across the asset lifecycle but it is incomplete or there are inconsistencies between approaches and a lack of integration.	Identification and assessment of asset related risk across the asset lifecycle is fully documented. The organisation can demonstrate that appropriate documented mechanisms are integrated across life cycle phases and are being consistently applied.	The organisation's process(es) surpass the standard required to comply with requirements set out in a recognised standard. The assessor is advised to note in the Evidence section why this is the case and the evidence seen.
79	Use and maintenance of asset risk information	How does the organisation ensure that the results of risk assessments provide input into the identification of adequate resources and training and competency needs?	The organisation has not considered the need to conduct risk assessments.	The organisation is aware of the need to consider the results of risk assessments and effects of risk control measures to provide input into reviews of resources, training and competency needs. Current input is typically ad-hoc and reactive.	The organisation is in the process ensuring that outputs of risk assessment are included in developing requirements for resources and training. The implementation is incomplete and there are gaps and inconsistencies.	Outputs from risk assessments are consistently and systematically used as inputs to develop resources, training and competency requirements. Examples and evidence is available.	The organisation's process(es) surpass the standard required to comply with requirements set out in a recognised standard. The assessor is advised to note in the Evidence section why this is the case and the evidence seen.
82	Legal and other requirements	What procedure does the organisation have to identify and provide access to its legal, regulatory, statutory and other asset management requirements, and how is requirements incorporated into the asset management system?	The organisation has not considered the need to identify its legal, regulatory, statutory and other asset management requirements.	The organisation identifies some its legal, regulatory, statutory and other asset management requirements, but this is done in an ad-hoc manner in the absence of a procedure.	The organisation has procedure(s) to identify its legal, regulatory, statutory and other asset management requirements, but the information is not kept up to date, inadequate or inconsistently managed.	Evidence exists to demonstrate that the organisation's legal, regulatory, statutory and other asset management requirements are identified and kept up to date. Systematic mechanisms for identifying relevant legal and statutory requirements.	The organisation's process(es) surpass the standard required to comply with requirements set out in a recognised standard. The assessor is advised to note in the Evidence section why this is the case and the evidence seen.

SCHEDULE 13: REPORT ON ASSET MANAGEMENT MATURITY (cont)

Question No.	Function	Question	Maturity Level 0	Maturity Level 1	Maturity Level 2	Maturity Level 3	Maturity Level 4
88	Life Cycle Activities	How does the organisation establish implement and maintain process(es) for the implementation of its asset management plan(s) and control of activities across the creation, acquisition or enhancement of assets. This includes design, modification, procurement, construction and commissioning activities?	The organisation does not have process(es) in place to manage and control the implementation of asset management plan(s) during activities related to asset creation including design, modification, procurement, construction and commissioning.	The organisation is aware of the need to have process(es) and procedure(s) in place to manage and control the implementation of asset management plan(s) during activities related to asset creation including design, modification, procurement, construction and commissioning but currently do not have these in place (note: procedure(s) may exist but they are inconsistent/incomplete).	The organisation is in the process of putting in place process(es) and procedure(s) to manage and control the implementation of asset management plan(s) during activities related to asset creation including design, modification, procurement, construction and commissioning. Gaps and inconsistencies are being addressed.	Effective process(es) and procedure(s) are in place to manage and control the implementation of asset management plan(s) during activities related to asset creation including design, modification, procurement, construction and commissioning.	The organisation's process(es) surpass the standard required to comply with requirements set out in a recognised standard. The assessor is advised to note in the Evidence section why this is the case and the evidence seen.
91	Life Cycle Activities	How does the organisation ensure that process(es) and/or procedure(s) for the implementation of asset management plan(s) and control of activities during maintenance (and inspection) of assets are sufficient to ensure activities are carried out under specified conditions, are consistent with asset management strategy and control cost, risk and performance?	The organisation does not have process(es)/procedure(s) in place to control or manage the implementation of asset management plan(s) during this life cycle phase.	The organisation is aware of the need to have process(es) and procedure(s) in place to manage and control the implementation of asset management plan(s) during this life cycle phase but currently do not have these in place and/or there is no mechanism for confirming they are effective and where needed modifying them.	The organisation is in the process of putting in place process(es) and procedure(s) to manage and control the implementation of asset management plan(s) during this life cycle phase. They include a process for confirming the process(es)/procedure(s) are effective and if necessary carrying out modifications.	The organisation has in place process(es) and procedure(s) to manage and control the implementation of asset management plan(s) during this life cycle phase. They include a process, which is itself regularly reviewed to ensure it is effective, for confirming the process(es) / procedure(s) are effective and if necessary carrying out modifications.	The organisation's process(es) surpass the standard required to comply with requirements set out in a recognised standard. The assessor is advised to note in the Evidence section why this is the case and the evidence seen.
95	Performance and condition monitoring	How does the organisation measure the performance and condition of its assets?	The organisation has not considered how to monitor the performance and condition of its assets.	The organisation recognises the need for monitoring asset performance but has not developed a coherent approach. Measures are incomplete, predominantly reactive and lagging. There is no linkage to asset management objectives.	The organisation is developing coherent asset performance monitoring linked to asset management objectives. Reactive and proactive measures are in place. Use is being made of leading indicators and analysis. Gaps and inconsistencies remain.	Consistent asset performance monitoring linked to asset management objectives is in place and universally used including reactive and proactive measures. Data quality management and review process are appropriate. Evidence of leading indicators and analysis.	The organisation's process(es) surpass the standard required to comply with requirements set out in a recognised standard. The assessor is advised to note in the Evidence section why this is the case and the evidence seen.
99	Investigation of asset-related failures, incidents and nonconformities	How does the organisation ensure responsibility and the authority for the handling, investigation and mitigation of asset-related failures, incidents and emergency situations and non conformances is clear, unambiguous, understood and communicated?	The organisation has not considered the need to define the appropriate responsibilities and the authorities.	The organisation understands the requirements and is in the process of determining how to define them.	The organisation are in the process of defining the responsibilities and authorities with evidence. Alternatively there are some gaps or inconsistencies in the identified responsibilities/authorities.	The organisation have defined the appropriate responsibilities and authorities and evidence is available to show that these are applied across the business and kept up to date.	The organisation's process(es) surpass the standard required to comply with requirements set out in a recognised standard. The assessor is advised to note in the Evidence section why this is the case and the evidence seen.

SCHEDULE 13: REPORT ON ASSET MANAGEMENT MATURITY (cont)

Question No.	Function	Question	Maturity Level 0	Maturity Level 1	Maturity Level 2	Maturity Level 3	Maturity Level 4
105	Audit	What has the organisation done to establish procedure(s) for the audit of its asset management system (process(es))?	The organisation has not recognised the need to establish procedure(s) for the audit of its asset management system.	The organisation understands the need for audit procedure(s) and is determining the appropriate scope, frequency and methodology(s).	The organisation is establishing its audit procedure(s) but they do not yet cover all the appropriate asset-related activities.	The organisation can demonstrate that its audit procedure(s) cover all the appropriate asset-related activities and the associated reporting of audit results. Audits are to an appropriate level of detail and consistently managed.	The organisation's process(es) surpass the standard required to comply with requirements set out in a recognised standard. The assessor is advised to note in the Evidence section why this is the case and the evidence seen.
109	Corrective & Preventative action	How does the organisation instigate appropriate corrective and/or preventative actions to eliminate or prevent the causes of identified poor performance and non conformance?	The organisation does not recognise the need to have systematic approaches to instigating corrective or preventative actions.	The organisation recognises the need to have systematic approaches to instigating corrective or preventative actions. There is ad-hoc implementation for corrective actions to address failures of assets but not the asset management system.	The need is recognized for systematic instigation of preventive and corrective actions to address root causes of non compliance or incidents identified by investigations, compliance evaluation or audit. It is only partially or inconsistently in place.	Mechanisms are consistently in place and effective for the systematic instigation of preventive and corrective actions to address root causes of non compliance or incidents identified by investigations, compliance evaluation or audit.	The organisation's process(es) surpass the standard required to comply with requirements set out in a recognised standard. The assessor is advised to note in the Evidence section why this is the case and the evidence seen.
113	Continual improvement	How does the organisation achieve continual improvement in the optimal combination of costs, asset related risks and the performance and condition of assets and asset systems across the whole life cycle?	The organisation does not consider continual improvement of these factors to be a requirement, or has not considered the issue.	A Continual Improvement ethos is recognised as beneficial, however it has just been started, and or covers partially the asset drivers.	Continuous improvement process(es) are set out and include consideration of cost risk, performance and condition for assets managed across the whole life cycle but it is not yet being systematically applied.	There is evidence to show that continuous improvement process(es) which include consideration of cost risk, performance and condition for assets managed across the whole life cycle are being systematically applied.	The organisation's process(es) surpass the standard required to comply with requirements set out in a recognised standard. The assessor is advised to note in the Evidence section why this is the case and the evidence seen.
115	Continual improvement	How does the organisation seek and acquire knowledge about new asset management related technology and practices, and evaluate their potential benefit to the organisation?	The organisation makes no attempt to seek knowledge about new asset management related technology or practices.	The organisation is inward looking, however it recognises that asset management is not sector specific and other sectors have developed good practice and new ideas that could apply. Ad-hoc approach.	The organisation has initiated asset management communication within sector to share and, or identify 'new' to sector asset management practices and seeks to evaluate them.	The organisation actively engages internally and externally with other asset management practitioners, professional bodies and relevant conferences. Actively investigates and evaluates new practices and evolves its asset management activities using appropriate developments.	The organisation's process(es) surpass the standard required to comply with requirements set out in a recognised standard. The assessor is advised to note in the Evidence section why this is the case and the evidence seen.