EDB Information Disclosure Requirements

Information Templates

for

Schedules 11a–13

Company Name	Alpine Energy Limited
Disclosure Date	6 April 2023
AMP Planning Period Start Date (first day)	1 April 2023

Templates for Schedules 11a–13 (Asset Management Plan)
Template Version 5.1. Prepared 24 November 2022

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Information disclosure asset management plan schedules

Disclosure Template Instructions

These templates have been prepared for use by EDBs when making disclosures under subclauses 2.6.1(1)(d), 2.6.1(1)(e), 2.6.1(2), 2.6.5(6), 2.6.6(1) and 2.6.6(2) of the Electricity Distribution Information Disclosure Determination 2012. The EDB may include a completed Schedule 13: Report on Asset Management Maturity table with its disclosures made under subclause 2.6.6(1) and 2.6.6(2), but this is not required. Schedule 13 tables that are not completed should be removed from disclosures made under subclause 2.6.6(1) and 2.6.6(2).

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.

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).
Column A schedule references should not be entered in additional rows.

Schedule References

The references labelled 'sch ref' in the leftmost column of each template are consistent with the row references in the Electricity Distribution ID Determination 2012 (as issued on 21 December 2017). They provide a common reference between the rows in the determination and the template.

Description of Calculation References

Calculation cell formulas contain links to other cells within the same template or elsewhere in the workbook. Key cell references are described in a column to the right of each template. These descriptions are provided to assist data entry. Cell references refer to the row of the template and not the schedule reference.

Changes Since Previous Version

Refer to the Targeted Information Disclosure Review - Electricity Distribution Businesses Final reasons paper - Tranche 1, for the details of changes made. A summary is provided in Chapter 2.

Company Name	**Alpine Energy Limited**
AMP Planning Period	**1 April 2023 – 31 March 2033**

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 23**	**31 Mar 24**	**31 Mar 25**	**31 Mar 26**	**31 Mar 27**	**31 Mar 28**	**31 Mar 29**	**31 Mar 30**	**31 Mar 31**	**31 Mar 32**	**31 Mar 33**
	11a(i): Expenditure on Assets Forecast	**$000 (in nominal dollars)**										
	Consumer connection	6,340	5,500	5,165	5,289	5,934	6,053	6,174	6,297	6,423	6,552	6,683
	System growth	3,638	4,555	5,692	5,871	3,140	7,825	6,185	6,996	3,749	2,394	2,928
	Asset replacement and renewal	13,279	17,282	14,421	16,808	21,039	18,742	16,142	16,969	16,899	19,441	18,007
	Asset relocations	130	400	465	476	486	495	505	515	526	536	547
	Reliability, safety and environment:											
	Quality of supply	-	150	155	793	162	165	168	172	175	179	182
	Legislative and regulatory	-	-	-	-	-	-	-	-	-	-	-
	Other reliability, safety and environment	665	1,635	1,999	1,312	1,338	1,365	1,347	1,259	1,238	1,263	1,288
	Total reliability, safety and environment	665	1,785	2,154	2,105	1,500	1,530	1,515	1,431	1,413	1,442	1,470
	Expenditure on network assets	24,052	29,522	27,897	30,549	32,099	34,645	30,521	32,208	29,010	30,365	29,635
	Expenditure on non-network assets	984	4,776	4,642	4,265	4,324	2,059	1,857	2,259	2,394	2,301	2,418
	Expenditure on assets	25,036	34,298	32,539	34,814	36,423	36,704	32,378	34,467	31,404	32,666	32,053
plus	Cost of financing	-	-	-	-	-	-	-	-	-	-	-
less	Value of capital contributions	7,200	5,000	5,648	4,760	5,395	5,503	5,613	5,726	5,840	5,957	6,076
plus	Value of vested assets	-	-	-	-	-	-	-	-	-	-	-
	Capital expenditure forecast	17,836	29,298	26,891	30,054	31,028	31,201	26,765	28,741	25,564	26,709	25,977
	Assets commissioned	18,000	38,301	28,069	30,054	31,028	31,251	26,766	28,742	25,565	26,709	25,978

		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 23**	**31 Mar 24**	**31 Mar 25**	**31 Mar 26**	**31 Mar 27**	**31 Mar 28**	**31 Mar 29**	**31 Mar 30**	**31 Mar 31**	**31 Mar 32**	**31 Mar 33**
		$000 (in constant prices)										
	Consumer connection	4,400	5,500	5,000	5,000	5,500	5,500	5,500	5,500	5,500	5,500	5,500
	System growth	2,870	4,555	5,510	5,550	2,910	7,110	5,510	6,110	3,210	2,010	2,410
	Asset replacement and renewal	12,855	17,282	13,960	15,890	19,500	17,030	14,380	14,820	14,470	16,320	14,820
	Asset relocations	1,400	400	450	450	450	450	450	450	450	450	450
	Reliability, safety and environment:											
	Quality of supply	-	150	150	750	150	150	150	150	150	150	150
	Legislative and regulatory	-	-	-	-	-	-	-	-	-	-	-
	Other reliability, safety and environment	980	1,635	1,935	1,240	1,240	1,240	1,200	1,100	1,060	1,060	1,060
	Total reliability, safety and environment	980	1,785	2,085	1,990	1,390	1,390	1,350	1,250	1,210	1,210	1,210
	Expenditure on network assets	22,505	29,522	27,005	28,880	29,750	31,480	27,190	28,130	24,840	25,490	24,390
	Expenditure on non-network assets	2,777	4,776	4,493	4,032	4,008	1,871	1,260	1,560	1,560	1,560	1,560
	Expenditure on assets	25,282	34,298	31,498	32,912	33,758	33,351	28,450	29,690	26,400	27,050	25,950
	Subcomponents of expenditure on assets (where known)											
	**EDBs' must disclose both a public version of this Schedule (excluding cybersecurity cost data) and a confidential version of this Schedule (including cybersecurity costs)*											
	Energy efficiency and demand side management, reduction of energy los	-	-	-	-	-	-	-	-	-	-	-
	Overhead to underground conversion	-	250	250	250	250	250	250	250	250	250	250
	Research and development	-	-	-	-	-	-	-	-	-	-	-
	Cybersecurity (Commission only)	-	465	-	-	-	-	-	-	-	-	-

Company Name	**Alpine Energy Limited**
AMP Planning Period	**1 April 2023 – 31 March 2033**

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 23**	**31 Mar 24**	**31 Mar 25**	**31 Mar 26**	**31 Mar 27**	**31 Mar 28**	**31 Mar 29**	**31 Mar 30**	**31 Mar 31**	**31 Mar 32**	**31 Mar 33**
	Difference between nominal and constant price forecasts	**$000**										
	Consumer connection	1,940	-	165	289	434	553	674	797	923	1,052	1,183
	System growth	768	-	182	321	230	715	675	886	539	384	518
	Asset replacement and renewal	424	-	461	918	1,539	1,712	1,762	2,149	2,429	3,121	3,187
	Asset relocations	(1,270)	-	15	26	36	45	55	65	76	86	97
	Reliability, safety and environment:											
	Quality of supply	-	-	5	43	12	15	18	22	25	29	32
	Legislative and regulatory	-	-	-	-	-	-	-	-	-	-	-
	Other reliability, safety and environment	(315)	-	64	72	98	125	147	159	178	203	228
	Total reliability, safety and environment	(315)	-	69	115	110	140	165	181	203	232	260
	Expenditure on network assets	1,547	-	892	1,669	2,349	3,165	3,331	4,078	4,170	4,875	5,245
	Expenditure on non-network assets	(1,793)	-	149	233	316	188	597	699	834	741	858
	Expenditure on assets	(246)	-	1,041	1,902	2,665	3,353	3,928	4,777	5,004	5,616	6,103

Commentary on options and considerations made in the assessment of forecast expenditure

EDBs may provide explanatory comment on the options they have considered (including scenarios used) in assessing forecast expenditure on assets for the current disclosure year and a 10 year planning period in Schedule 15

	Current Year CY	*CY+1*	*CY+2*	*CY+3*	*CY+4*	*CY+5*
for year ended	**31 Mar 23**	**31 Mar 24**	**31 Mar 25**	**31 Mar 26**	**31 Mar 27**	**31 Mar 28**
11a(ii): Consumer Connection						
*Consumer types defined by EDB**	**$000 (in constant prices)**					
Low user charge	220	275	250	250	275	275
15	616	770	700	700	770	770
360	528	660	600	600	660	660
Assessed	1,012	1,265	1,150	1,150	1,265	1,265
TOU 400 V	2,024	2,530	2,300	2,300	2,530	2,530
**include additional rows if needed*						
Consumer connection expenditure	4,400	5,500	5,000	5,000	5,500	5,500
less Capital contributions funding consumer connection	3,600	5,000	4,500	4,500	5,000	5,000
Consumer connection less capital contributions	800	500	500	500	500	500
11a(iii): System Growth						
Subtransmission	-	285	550	550	150	450
Zone substations	-	3,700	3,000	3,000	500	4,400
Distribution and LV lines	450	-	-	-	-	-
Distribution and LV cables	2,420	540	1,960	2,000	2,260	2,260
Distribution substations and transformers	-	-	-	-	-	-
Distribution switchgear	-	-	-	-	-	-
Other network assets	-	30	-	-	-	-
System growth expenditure	2,870	4,555	5,510	5,550	2,910	7,110
less Capital contributions funding system growth	-	-	-	-	-	-
System growth less capital contributions	2,870	4,555	5,510	5,550	2,910	7,110

Company Name	**Alpine Energy Limited**
AMP Planning Period	**1 April 2023 – 31 March 2033**

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)

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11a(iv): Asset Replacement and Renewal

		Current Year CY	CY+1	CY+2	CY+3	CY+4	CY+5
	for year ended	31 Mar 23	31 Mar 24	31 Mar 25	31 Mar 26	31 Mar 27	31 Mar 28
	$000 (in constant prices)						
	Subtransmission	-	7,914	7,940	9,320	10,300	7,900
	Zone substations	1,480	4,144	210	710	3,610	3,110
	Distribution and LV lines	7,910	-	-	-	-	-
	Distribution and LV cables	-	1,580	1,460	1,260	860	960
	Distribution substations and transformers	1,490	2,874	2,970	3,230	3,400	3,750
	Distribution switchgear	1,110	390	940	940	940	920
	Other network assets	865	380	440	430	390	390
	Asset replacement and renewal expenditure	12,855	17,282	13,960	15,890	19,500	17,030
less	Capital contributions funding asset replacement and renewal	200	-	968	-	-	-
	Asset replacement and renewal less capital contributions	12,655	17,282	12,992	15,890	19,500	17,030

11a(v): Asset Relocations

		Current Year CY	CY+1	CY+2	CY+3	CY+4	CY+5
	for year ended	31 Mar 23	31 Mar 24	31 Mar 25	31 Mar 26	31 Mar 27	31 Mar 28
	*Project or programme**	**$000 (in constant prices)**					
	Overhead to Underground conversions	1,400	250	250	250	250	250
	B1508 Transformer replacement (High Risk)	-	150	-	-	-	-
	Relocate transformers located at hazardous areas.	-	-	200	200	200	200
		-	-	-	-	-	-
		-	-	-	-	-	-
	*include additional rows if needed						
	All other project or programmes - asset relocations	-	-	-	-	-	-
	Asset relocations expenditure	1,400	400	450	450	450	450
less	Capital contributions funding asset relocations	-	-	-	-	-	-
	Asset relocations less capital contributions	1,400	400	450	450	450	450

11a(vi): Quality of Supply

		Current Year CY	CY+1	CY+2	CY+3	CY+4	CY+5
	for year ended	31 Mar 23	31 Mar 24	31 Mar 25	31 Mar 26	31 Mar 27	31 Mar 28
	*Project or programme**	**$000 (in constant prices)**					
	Voltage regulator for Load and Voltage Control	-	150	150	150	150	150
	New Timaru 33kV ripple plant.	-	-	-	600	-	-
		-	-	-	-	-	-
		-	-	-	-	-	-
		-	-	-	-	-	-
	*include additional rows if needed						
	All other projects or programmes - quality of supply	-	-	-	-	-	-
	Quality of supply expenditure	-	150	150	750	150	150
less	Capital contributions funding quality of supply	-	-	-	-	-	-
	Quality of supply less capital contributions	-	150	150	750	150	150

Company Name	**Alpine Energy Limited**
AMP Planning Period	**1 April 2023 – 31 March 2033**

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).

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sch ref

11a(vii): Legislative and Regulatory

		Current Year CY	CY+1	CY+2	CY+3	CY+4	CY+5
	for year ended	31 Mar 23	31 Mar 24	31 Mar 25	31 Mar 26	31 Mar 27	31 Mar 28
	*Project or programme**	$000 (in constant prices)					
	N/a	-	-	-	-	-	-
		-	-	-	-	-	-
		-	-	-	-	-	-
		-	-	-	-	-	-
		-	-	-	-	-	-
	*include additional rows if needed						
	All other projects or programmes - legislative and regulatory	-	-	-	-	-	-
	Legislative and regulatory expenditure	-	-	-	-	-	-
less	Capital contributions funding legislative and regulatory	-	-	-	-	-	-
	Legislative and regulatory less capital contributions	-	-	-	-	-	-

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

		Current Year CY	CY+1	CY+2	CY+3	CY+4	CY+5
	for year ended	31 Mar 23	31 Mar 24	31 Mar 25	31 Mar 26	31 Mar 27	31 Mar 28
	*Project or programme**	$000 (in constant prices)					
	SCADA and Comms	410	465	195	90	90	90
	Softwood pole replacement	160	200	200	200	200	200
	Reclosers, automation & RMUs	260	450	460	190	190	330
	AMG Circuit Breaker	150	-	150	-	-	-
	Lucy Box Replacements	-	520	480	550	550	410
	Substation Security Video Monitoring	-	-	240	-	-	-
	Asbestos	-	-	210	210	210	210
	*include additional rows if needed						
	All other projects or programmes - other reliability, safety and environme	-	-	-	-	-	-
	Other reliability, safety and environment expenditure	980	1,635	1,935	1,240	1,240	1,240
less	Capital contributions funding other reliability, safety and environment	-	-	-	-	-	-
	Other reliability, safety and environment less capital contributions	980	1,635	1,935	1,240	1,240	1,240

11a(ix): Non-Network Assets

		Current Year CY	CY+1	CY+2	CY+3	CY+4	CY+5
	for year ended	31 Mar 23	31 Mar 24	31 Mar 25	31 Mar 26	31 Mar 27	31 Mar 28
	Routine expenditure						
	*Project or programme**	$000 (in constant prices)					
	Automation & remote control of network	-	100	100	100	200	200
	Site Security	-	60	60	60	60	60
	ADMS (Non-Network CAPEX)	-	200	200	2,000	2,000	200
	Lidar	-	-	500	-	250	250
	Future State ERP	-	250	1,000	200	200	200
	Future State Architecture	-	250	500	100	100	100
	Data Strategy Implementation	1,077	250	500	100	100	100
	Value Chain Redesign	-	250	250	250	150	150
	Vehicles	350	-	-	-	-	-
	Digital	-	1,105	1,087	1,061	809	566
	Other	350	446	96	161	139	45
	*include additional rows if needed						
	All other projects or programmes - routine expenditure	-	-	-	-	-	-
	Routine expenditure	1,777	2,911	4,293	4,032	4,008	1,871
	Atypical expenditure						
	*Project or programme**						
	Transformer load visibility	-	200	-	-	-	-
	Enterprise Content Management	-	200	200	-	-	-
	Property	1,000	1,000	-	-	-	-
	Digital	-	465	-	-	-	-
		-	-	-	-	-	-
	*include additional rows if needed						
	All other projects or programmes - atypical expenditure	-	-	-	-	-	-
	Atypical expenditure	1,000	1,865	200	-	-	-
	Expenditure on non-network assets	2,777	4,776	4,493	4,032	4,008	1,871

Company Name	**Alpine Energy Limited**
AMP Planning Period	**1 April 2023 – 31 March 2033**

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												
7		*Current Year CY*	*CY+1*	*CY+2*	*CY+3*	*CY+4*	*CY+5*	*CY+6*	*CY+7*	*CY+8*	*CY+9*	*CY+10*
8	for year ended	**31 Mar 23**	**31 Mar 24**	**31 Mar 25**	**31 Mar 26**	**31 Mar 27**	**31 Mar 28**	**31 Mar 29**	**31 Mar 30**	**31 Mar 31**	**31 Mar 32**	**31 Mar 33**
9	**Operational Expenditure Forecast**	**$000 (in nominal dollars)**										
10	Service interruptions and emergencies	2,104	2,100	2,169	2,221	2,266	2,311	2,357	2,404	2,453	2,502	2,552
11	Vegetation management	721	1,050	1,085	1,375	1,403	1,431	1,459	1,488	1,518	1,549	1,580
12	Routine and corrective maintenance and inspection	3,221	3,400	3,512	3,596	3,668	3,742	3,704	3,778	3,737	3,812	3,888
13	Asset replacement and renewal	165	342	353	362	369	376	384	392	399	407	416
14	**Network Opex**	6,211	6,892	7,119	7,554	7,706	7,860	7,904	8,062	8,107	8,270	8,436
15	System operations and network support	8,853	9,691	10,720	10,777	10,978	11,229	11,383	11,607	11,872	12,143	12,343
16	Business support	9,417	10,969	13,747	13,575	13,693	13,958	14,182	14,436	14,746	15,080	15,319
17	**Non-network opex**	18,270	20,660	24,467	24,352	24,671	25,187	25,565	26,043	26,618	27,223	27,662
18	**Operational expenditure**	24,481	27,552	31,586	31,906	32,377	33,047	33,469	34,105	34,725	35,493	36,098

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 23**	**31 Mar 24**	**31 Mar 25**	**31 Mar 26**	**31 Mar 27**	**31 Mar 28**	**31 Mar 29**	**31 Mar 30**	**31 Mar 31**	**31 Mar 32**	**31 Mar 33**
21		**$000 (in constant prices)**										
22	Service interruptions and emergencies	2,045	2,100	2,100	2,100	2,100	2,100	2,100	2,100	2,100	2,100	2,100
23	Vegetation management	820	1,050	1,050	1,300	1,300	1,300	1,300	1,300	1,300	1,300	1,300
24	Routine and corrective maintenance and inspection	3,300	3,400	3,400	3,400	3,400	3,400	3,300	3,300	3,200	3,200	3,200
25	Asset replacement and renewal	290	342	342	342	342	342	342	342	342	342	342
26	**Network Opex**	6,455	6,892	6,892	7,142	7,142	7,142	7,042	7,042	6,942	6,942	6,942
27	System operations and network support	6,060	9,691	10,377	10,188	10,175	10,204	10,141	10,137	10,165	10,194	10,159
28	Business support	15,482	10,969	13,308	12,834	12,691	12,683	12,634	12,608	12,626	12,659	12,607
29	**Non-network opex**	21,542	20,660	23,685	23,022	22,866	22,887	22,775	22,745	22,791	22,853	22,766
30	**Operational expenditure**	27,997	27,552	30,577	30,164	30,008	30,029	29,817	29,787	29,733	29,795	29,708

31	**Subcomponents of operational expenditure (where known)**											
	**EDBs' must disclose both a public version of this Schedule (excluding cybersecurity cost data) and a confidential version of this Schedule (including cybersecurity costs)*											
32	Energy efficiency and demand side management, reduction of											
33	energy losses	-	-	-	-	-	-	-	-	-	-	-
34	Direct billing*	-	-	-	-	-	-	-	-	-	-	-
35	Research and Development	-	-	-	-	-	-	-	-	-	-	-
36	Insurance	277	346	346	346	346	346	346	346	346	346	346
37	Cybersecurity (Commission only)	88	100	310	320	320	320	320	320	320	320	320
38	** Direct billing expenditure by suppliers that direct bill the majority of their consumers*											
39												

40		*Current Year CY*	*CY+1*	*CY+2*	*CY+3*	*CY+4*	*CY+5*	*CY+6*	*CY+7*	*CY+8*	*CY+9*	*CY+10*
41	for year ended	**31 Mar 23**	**31 Mar 24**	**31 Mar 25**	**31 Mar 26**	**31 Mar 27**	**31 Mar 28**	**31 Mar 29**	**31 Mar 30**	**31 Mar 31**	**31 Mar 32**	**31 Mar 33**
42	**Difference between nominal and real forecasts**	**$000**										
43	Service interruptions and emergencies	59	-	69	121	166	211	257	304	353	402	452
44	Vegetation management	(99)	-	35	75	103	131	159	188	218	249	280
45	Routine and corrective maintenance and inspection	(79)	-	112	196	268	342	404	478	537	612	688
46	Asset replacement and renewal	(125)	-	11	20	27	34	42	50	57	65	74
47	**Network Opex**	(244)	-	227	412	564	718	862	1,020	1,165	1,328	1,494
48	System operations and network support	2,793	-	343	589	803	1,025	1,242	1,470	1,707	1,949	2,184
49	Business support	(6,065)	-	439	741	1,002	1,275	1,548	1,828	2,120	2,421	2,712
50	**Non-network opex**	(3,272)	-	782	1,330	1,805	2,300	2,790	3,298	3,827	4,370	4,896
51	**Operational expenditure**	(3,516)	-	1,009	1,742	2,369	3,018	3,652	4,318	4,992	5,698	6,390
52												

53	**Commentary on options and considerations made in the assessment of forecast expenditure**
54	*EDBs may provide explanatory comment on the options they have considered (including scenarios used) in assessing forecast operational expenditure for the current disclosure year and a 10 year planning period in Schedule 15.*
55	

Company Name	**Alpine Energy Limited**
AMP Planning Period	**1 April 2023 - 31 March 2033**

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**	**H1**	**H2**	**H3**	**H4**	**H5**	**Grade unknown**	**Data accuracy (1–4)**	**% of asset forecast to be replaced in next 5 years**
10	All	Overhead Line	Concrete poles / steel structure	No.	-	0.01%	30.24%	34.38%	35.38%		3	0.50%
11	All	Overhead Line	Wood poles	No.	2.76%	13.71%	40.57%	17.21%	25.75%		3	3.00%
12	All	Overhead Line	Other pole types	No.							N/A	
13	HV	Subtransmission Line	Subtransmission OH up to 66kV conductor	km	0.06%	8.84%	24.45%	32.03%	34.63%		3	
14	HV	Subtransmission Line	Subtransmission OH 110kV+ conductor	km							N/A	
15	HV	Subtransmission Cable	Subtransmission UG up to 66kV (XLPE)	km	-	-	0.29%	3.64%	96.07%		4	
16	HV	Subtransmission Cable	Subtransmission UG up to 66kV (Oil pressurised)	km							N/A	
17	HV	Subtransmission Cable	Subtransmission UG up to 66kV (Gas pressurised)	km							N/A	
18	HV	Subtransmission Cable	Subtransmission UG up to 66kV (PILC)	km							N/A	
19	HV	Subtransmission Cable	Subtransmission UG 110kV+ (XLPE)	km							N/A	
20	HV	Subtransmission Cable	Subtransmission UG 110kV+ (Oil pressurised)	km							N/A	
21	HV	Subtransmission Cable	Subtransmission UG 110kV+ (Gas Pressurised)	km							N/A	
22	HV	Subtransmission Cable	Subtransmission UG 110kV+ (PILC)	km							N/A	
23	HV	Subtransmission Cable	Subtransmission submarine cable	km							N/A	
24	HV	Zone substation Buildings	Zone substations up to 66kV	No.	-	-	16.00%	32.00%	52.00%		3	
25	HV	Zone substation Buildings	Zone substations 110kV+	No.							N/A	
26	HV	Zone substation switchgear	22/33kV CB (Indoor)	No.					100.00%		4	
27	HV	Zone substation switchgear	22/33kV CB (Outdoor)	No.	5.26%	5.26%	26.32%	15.79%	47.37%		4	5.00%
28	HV	Zone substation switchgear	33kV Switch (Ground Mounted)	No.	24.24%	12.12%	16.67%	-	46.97%		3	
29	HV	Zone substation switchgear	33kV Switch (Pole Mounted)	No.	19.75%	12.35%	18.52%	1.23%	48.15%		3	5.00%
30	HV	Zone substation switchgear	33kV RMU	No.					100.00%		3	
31	HV	Zone substation switchgear	50/66/110kV CB (Indoor)	No.							N/A	
32	HV	Zone substation switchgear	50/66/110kV CB (Outdoor)	No.					100.00%		4	
33	HV	Zone substation switchgear	3.3/6.6/11/22kV CB (ground mounted)	No.	-	-	-	17.65%	82.35%		3	
34	HV	Zone substation switchgear	3.3/6.6/11/22kV CB (pole mounted)	No.	-	-	33.33%	-	66.67%		3	

Company Name	**Alpine Energy Limited**
AMP Planning Period	**1 April 2023 - 31 March 2033**

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**	**H1**	**H2**	**H3**	**H4**	**H5**	**Grade unknown**	**Data accuracy (1–4)**	**% of asset forecast to be replaced in next 5 years**
39	HV	Zone Substation Transformer	Zone Substation Transformers	No.	-	-	14.29%	14.29%	71.43%		3	4.00%
40	HV	Distribution Line	Distribution OH Open Wire Conductor	km	0.72%	38.00%	20.22%	14.15%	26.91%		3	2.00%
41	HV	Distribution Line	Distribution OH Aerial Cable Conductor	km							N/A	
42	HV	Distribution Line	SWER conductor	km	-	100.00%	-	-	-		3	
43	HV	Distribution Cable	Distribution UG XLPE or PVC	km	0.27%	0.35%	0.58%	11.89%	86.91%		3	0.50%
44	HV	Distribution Cable	Distribution UG PILC	km	2.16%	11.19%	28.99%	55.83%	1.83%		3	
45	HV	Distribution Cable	Distribution Submarine Cable	km							N/A	
46	HV	Distribution switchgear	3.3/6.6/11/22kV CB (pole mounted) - reclosers and sectionalisers	No.	-	-	9.68%	37.10%	53.23%		3	
47	HV	Distribution switchgear	3.3/6.6/11/22kV CB (Indoor)	No.	4.85%	-	14.55%	16.36%	64.24%		3	
48	HV	Distribution switchgear	3.3/6.6/11/22kV Switches and fuses (pole mounted)	No.	14.79%	5.65%	4.94%	22.70%	51.91%		3	5.00%
49	HV	Distribution switchgear	3.3/6.6/11/22kV Switch (ground mounted) - except RMU	No.	30.61%	12.24%	-	-	57.14%		3	
50	HV	Distribution switchgear	3.3/6.6/11/22kV RMU	No.	3.32%	15.49%	25.44%	12.39%	43.36%		3	2.00%
51	HV	Distribution Transformer	Pole Mounted Transformer	No.	1.06%	30.34%	25.91%	25.05%	17.64%		3	1.00%
52	HV	Distribution Transformer	Ground Mounted Transformer	No.	0.46%	16.12%	20.77%	34.61%	28.05%		3	1.00%
53	HV	Distribution Transformer	Voltage regulators	No.	-	-	-	57.35%	42.65%		4	
54	HV	Distribution Substations	Ground Mounted Substation Housing	No.							N/A	
55	LV	LV Line	LV OH Conductor	km	20.89%	13.40%	47.12%	14.98%	3.61%		3	2.00%
56	LV	LV Cable	LV UG Cable	km	1.19%	5.58%	19.41%	42.34%	31.49%		3	1.00%
57	LV	LV Streetlighting	LV OH/UG Streetlight circuit	km							N/A	
58	LV	Connections	OH/UG consumer service connections	No.							N/A	
59	All	Protection	Protection relays (electromechanical, solid state and numeric)	No.	2.01%	0.45%	11.19%	64.65%	21.70%		3	2.00%
60	All	SCADA and communications	SCADA and communications equipment operating as a single system	Lot	2.38%	-	21.43%	47.62%	28.57%		3	5.00%
61	All	Capacitor Banks	Capacitors including controls	No.	-	22.22%	-	29.63%	48.15%		3	
62	All	Load Control	Centralised plant	Lot	1.19%	16.67%	10.71%	23.81%	47.62%		3	16.00%
63	All	Load Control	Relays	No.							N/A	
64	All	Civils	Cable Tunnels	km							N/A	

Company Name	**Alpine Energy Limited**
AMP Planning Period	**1 April 2023 – 31 March 2033**

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

12b(i): System Growth - Zone Substations

Existing Zone Substations	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
Albury (ABY)	3.71	-	N		-	-	-	No constraint within +5 years	Meets Alpine security standard
Old Man Range (OMR)	0.38	-	N		-	-	-	No constraint within +5 years	Balmoral substation decommissioned in 2019
Bells Pond (BPD)	13.22	20.00	N-1		66%	20.00	91%	Transpower	T1 installed FY18/19, T2 to be upgraded to provide N-1 security of supply
Clandeboye 1 (CD1)	13.89	20.00	N-1		69%	30.00	63%	Transformer	Upgrade transformers to restore N-1 security of supply
Clandeboye 2 (CD2)	19.79	25.00	N-1		79%	25.00	100%	No constraint within +5 years	Meets Alpine security standard due to sufficient 11 kV backup
Cooneys Road (CNR)	4.60	-	N	1.8/0.8/0.6	-	-	-	No constraint within +5 years	Meets Alpine security standard
Fairlie (FLE)	2.77	-	N		-	-	-	No constraint within +5 years	Meets Alpine security standard
Geraldine (GLD)	7.00	-	N		-	-	-	No constraint within +5 years	Transformer was replaced with a 15/9 MVA in 2021 due to end of life consideration
Haldon Lilybank (HLB)	0.68	-	N		-	-	-	No constraint within +5 years	Meets Alpine security standard
Pareora (PAR)	9.12	15.00	N-1		61%	15.00	66%	No constraint within +5 years	Meets Alpine security standard
Pleasant Point (PLP)	4.48	-	N		-	-	-	No constraint within +5 years	Meets Alpine security standard
Rangitata (RGA)	9.99	10.00	N-1		100%	10.00	108%	Subtransmission circuit	Line capacity constraint, sufficient 11 kV backup in place
Studholme (STU)	13.33	10.00	N-1		133%	40.00	44%	Transpower	Transpower replacing existing transformers with 2x 40MVA 110/11 Kv transformers in 2024
Tekapo Village (TEK)	4.25	-	N		-	15.00	65%	Transformer	Upgrade of transformer and the TEK substation option of constructing a twin substation to provide N-1 security of supply
Temuka (TMK)	12.58	25.00	N-1		50%	25.00	57%	No constraint within +5 years	Meets Alpine Security standard
Timaru 11/33 kV (TIM)	15.06	-	N		-	-	-	No constraint within +5 years	Meets Alpine Security standard
Twizel Village (TVS)	3.67	-	N		-	6.25	64%	No constraint within +5 years	Options being assessed to upgrade installed firm capacity
Unwin Hut (UHT)	0.95	-	N		-	-	-	No constraint within +5 years	Meets Alpine security standard
Washdyke Zone Substation (WSS)		-			-	40	75%	No constraint within +5 years	Commissioning due in 2025
					-				

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

Company Name	**Alpine Energy Limited**
AMP Planning Period	**1 April 2023 – 31 March 2033**

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 23**	**31 Mar 24**	**31 Mar 25**	**31 Mar 26**	**31 Mar 27**	**31 Mar 28**
*Consumer types defined by EDB**						
Low Charge	13,247	13,560	13,660	13,760	13,860	13,960
Low Uncontrolled	58	58	59	60	61	62
015	17,010	16,967	17,092	17,217	17,342	17,467
015 Uncontrolled	75	74	74	74	74	74
360	1,271	1,288	1,302	1,316	1,330	1,344
360 Uncontrolled	29	29	29	29	29	29
Assessed	1,702	1,733	1,748	1,763	1,778	1,793
TOU 400V	135	135	135	135	135	135
TOU 11kV	8	8	8	8	8	8
IND	12	12	12	12	12	12
Connections total	33,547	33,864	34,119	34,374	34,629	34,884

**include additional rows if needed*

Distributed generation	*Current Year CY*	*CY+1*	*CY+2*	*CY+3*	*CY+4*	*CY+5*
Number of connections made in year	416	426	449	472	495	518
Capacity of distributed generation installed in year (MVA)	3	29	4	4	4	4

12c(ii) System Demand

		Current Year CY	*CY+1*	*CY+2*	*CY+3*	*CY+4*	*CY+5*
Maximum coincident system demand (MW)	for year ended	**31 Mar 23**	**31 Mar 24**	**31 Mar 25**	**31 Mar 26**	**31 Mar 27**	**31 Mar 28**
GXP demand		138	148	149	149	150	151
plus Distributed generation output at HV and above		-	-	-	-	-	-
Maximum coincident system demand		138	148	149	149	150	151
less Net transfers to (from) other EDBs at HV and above		-	-	-	-	-	-
Demand on system for supply to consumers' connection points		138	148	149	149	150	151
Electricity volumes carried (GWh)							
Electricity supplied from GXPs		829	877	882	885	888	891
less Electricity exports to GXPs		15	16	16	16	17	17
plus Electricity supplied from distributed generation		30	30	31	32	32	33
less Net electricity supplied to (from) other EDBs		-	-	-	-	-	-
Electricity entering system for supply to ICPs		845	892	896	900	903	907
less Total energy delivered to ICPs		809	843	847	850	854	857
Losses		35	49	49	50	50	50
Load factor		69%	69%	69%	69%	69%	69%
Loss ratio		5.5%	5.5%	5.5%	5.5%	5.5%	5.5%

Company Name	**Alpine Energy Limited**
AMP Planning Period	**1 April 2023 – 31 March 2033**
Network / Sub-network Name	**N/a**

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*
8							
9	for year ended	**31 Mar 23**	**31 Mar 24**	**31 Mar 25**	**31 Mar 26**	**31 Mar 27**	**31 Mar 28**
10	**SAIDI**						
11	Class B (planned interruptions on the network)	55.0	55.0	55.0	55.0	55.0	55.0
12	Class C (unplanned interruptions on the network)	91.9	91.9	91.9	91.9	91.9	91.9
13	**SAIFI**						
14	Class B (planned interruptions on the network)	0.70	0.70	0.70	0.70	0.70	0.70
15	Class C (unplanned interruptions on the network)	1.20	1.20	1.20	1.20	1.20	1.20

Company Name	**Alpine Energy Limited**
AMP Planning Period	**1 April 2023 – 31 March 2033**
Asset Management Standard Applied	**ISO 55000**

SCHEDULE 13: REPORT ON ASSET MANAGEMENT MATURITY

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

Question No.	Function	Question	Score	Evidence—Summary	Why	Who	Record/documented Information
3	Asset management policy	To what extent has an asset management policy been documented, authorised and communicated?	2.5	Views vary on how widely the actual AM Policy has been circulated and understood, but most interviewees are aware of the general principles in the AM Policy.	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 i). 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?	1.5	The AM Strategy is well stated, and links well with other documents such as the AM Policy and the AMP, but similar to Q3 it appears that verbal communication and reinforcement of the AM Strategy varies. Again, similar to Q3, there is a general awareness of the principles contained in the AM Strategy.	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 polices, 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?	2	The AM Strategy and the Asset Fleet Plans clearly recognise individual asset lifecycles, however it appears that the importance of asset condition data for driving lifecycle decisions is not well understood. There is great work in progress in this area.	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?	2	The Asset Fleet Plans document individual lifecycle asset plans well enough, but the actual day-to-day work is messy and disjointed.	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).

Company Name	**Alpine Energy Limited**
AMP Planning Period	**1 April 2023 – 31 March 2033**
Asset Management Standard Applied	**ISO 55000**

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.

Company Name	**Alpine Energy Limited**
AMP Planning Period	**1 April 2023 – 31 March 2033**
Asset Management Standard Applied	**ISO 55000**

SCHEDULE 13: REPORT ON ASSET MANAGEMENT MATURITY

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

Company Name	**Alpine Energy Limited**
AMP Planning Period	**1 April 2023 – 31 March 2033**
Asset Management Standard Applied	**ISO 55000**

SCHEDULE 13: REPORT ON ASSET MANAGEMENT MATURITY (cont)

Question No.	Function	Question	Score	Evidence—Summary	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?	1.5	There appears to be very little formal communication of key asset management themes that the wider business and contractors need to understand for training, recruitment, equipment purchasing etc. The current level of communication is either individual jobs or an annual budget, but not explanation of wider themes.	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?	2.5	Responsibilities for delivering work are very well documented, but views vary on how work delivery occurs in practice with views ranging from well enough to quite disjoint.	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	Financial forecasting and projections are done well. A People & Culture Strategy has been compiled, but detailed aspects such as skill mix forecasts and competency matrices are yet to occur.	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. 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?	2	A wide range of contingency plans have been compiled, however updating those plans has lapsed as only 1 person was responsible for those plans and has left Alpine. One significant identified gap is the returning of fault information from NETCon.	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.

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SCHEDULE 13: REPORT ON ASSET MANAGEMENT MATURITY (cont)

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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.

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SCHEDULE 13: REPORT ON ASSET MANAGEMENT MATURITY

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

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SCHEDULE 13: REPORT ON ASSET MANAGEMENT MATURITY (cont)

Question No.	Function	Question	Score	Evidence—Summary	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)?	2.5	Organisational structure and authorities are well documented, but views vary on how well workflow and communication occurs in practice.	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?	1.5	Whilst the need for cash is both well understand and well managed through a 10 year forecast, the concepts in the People & Culture Strategy have not yet cascaded down to detailed competency identification and recruitment plans.	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?	2	Reporting formats and structures are well documented, suggesting that Alpine understand the need for good reporting. In practice, however, it seems that reporting is sparse and aggregated (i.e.. difficult to see the cause of variances).	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-abouts 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?	2.5	Alpine has documented a wide and appropriate range of both leading and lagging controls to ensure outsourced work meets standards, including such measures as NETCon only stocking Alpine-approved materials and all new contractors having their first 3 jobs inspected in detail. In practice, however, there are variances from material standards and work procedures.	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 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.

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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 people 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 organisations 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 organisations 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 for 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.

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

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SCHEDULE 13: REPORT ON ASSET MANAGEMENT MATURITY (cont)

Question No.	Function	Question	Score	Evidence—Summary	Why	Who	Record/documented 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)?	2	Whilst there is a sound People & Culture Strategy, it has not yet cascaded down to the level of forecasting work volumes and skill mixes either within Alpine or to NETCon.	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?	1.5	Whilst competency and safety training is well done for network staff and contractors, similar systems are not yet in place for wider occupational classes.	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.

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

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?	**1.5**	Alpine has structured training and competency matrices for network competencies, but is yet to develop similar matricies for other asset management competencies.	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.

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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.

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SCHEDULE 13: REPORT ON ASSET MANAGEMENT MATURITY (cont)

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.

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SCHEDULE 13: REPORT ON ASSET MANAGEMENT MATURITY (cont)

Question No.	Function	Question	Score	Evidence—Summary	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?	1.5	Interview comments indicate that communication of significant asset information (e.g. a change in an asset fleet's condition has been revealed) tends to be reactive and hurried.	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's 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?	2	Whilst Alpine has documented its asset management system well (and might therefore merit scoring a 3), the interviews note gaps. These gaps include people compiling their own data records because the official data is too hard to access, and doubtful data quality.	Widely used AM practice standards require an organisation maintain up to date documentation that ensures that its asset management systems (ie, the systems the organisation has in place to meet 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?	2	Alpine has a good conceptual understanding of its information requirements, which the Asset Data Strategy plans to build upon. In practice, there are deficiencies including doubtful data accuracy and completeness for some asset classes.	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?	2	The requirements for accurate data are well understood, and work is progressing on ensuring that asset condition data is both relevant and accurate.	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.

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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.

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SCHEDULE 13: REPORT ON ASSET MANAGEMENT MATURITY

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

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SCHEDULE 13: REPORT ON ASSET MANAGEMENT MATURITY (cont)

Question No.	Function	Question	Score	Evidence—Summary	Why	Who	Record/documented Information
64	Information management	How has the organisation's ensured its asset management information system is relevant to its needs?	2.5	Alpine has a clear understanding of what its AMIS needs to provide, and work is progressing well in places.	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?	1.5	Whole-of-life asset risk particularly investment risk is not well documented, and seems ad-hoc.	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?	1.5	Although the Risk Management Policy sets out the requirement for specific actions, it is not clear that this has yet extended to training and competency. It is noted that there is great work happening to link asset condition and lifecycle risks to other activities such as inspections.	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?	3	Alpine uses a range of sources to ensure that its obligations are correctly identified, and places actions on individual managers to ensure amendments are made.	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

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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.

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SCHEDULE 13: REPORT ON ASSET MANAGEMENT MATURITY (cont)

Question No.	Function	Question	Score	Evidence—Summary	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?	**1.5**	Alpine has an array of documented standards and policies for controlling all stages of the asset lifecycles that look good, but may lack robust lifecycle methodologies. In practice, however, there are variances ranging from possible occasional departures from design and material specifications through to more major concerns such as workflows being haphazard.	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?	**2.5**	Although strongly aligned documents are in place, Alpine has acknowledged that the use of Project Briefs to clearly define what Planning will provide to Engineering has lapsed due to busyness.	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?	**1.5**	Procedures for monitoring performance and condition are well documented, however the robustness of those procedures varies in practice. It is noted that great work is occurring to link inspection plans to condition data.	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).

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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?	**2**	Whilst the AMP documents how faults are investigated, it appears that communication paths within Alpine prevent clear and consistent communication of faults and defects to those who could drive corrective actions.	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.

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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.

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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.

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Question No.	Function	Question	Score	Evidence—Summary	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))?	2	Some aspects of the asset management function are either regularly audited (due to statutory requirements such as financial audits, or the PSMS audit), whilst other audits and reviews may be ad-hoc.	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?	1.5	Leading mitigation of risks through comprehensive technical standards, policies and contracts is well done on paper, however it is widely acknowledged that day-to-day practices vary for a number of reasons including the interest of single individuals, roles remaining vacant and general busyness.	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 businesses 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 preventive 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?	2	At a high level, various processes and practices are driving continuous improvement, but a common theme from the interviews is that the end-to-end process alignment and efficiency of work is poor. It is noted that work quality appears very good.	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 that 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.

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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?	**3**	Although a wide range of sources for new technologies and practices (ranging from on-line searches to conferences) are used, it seems a bit ad-hoc rather than structured.	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.

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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 preventive 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 preventive actions.	The organisation recognises the need to have systematic approaches to instigating corrective or preventive 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.

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Asset Management Standard Applied	**ISO 55000**

SCHEDULE 13: REPORT ON ASSET MANAGEMENT MATURITY (cont)

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.