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City of Wollongong Council
Asset Management Review
Part 2 Review of Asset Management Capability

July 2007

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1. Executive Summary

With \$2.5 billion in assets, City of Wollongong Council has a significant portfolio of infrastructure to replace and maintain. This places considerable pressure on Council resources and a demand for increased funding each year to keep up with ageing assets.

Funding for infrastructure maintenance and renewal has been described as the biggest management challenge in local government (Allan 2006, Inquiry into financial sustainability of NSW local government). City of Wollongong is making positive steps towards addressing this challenge, and has commissioned Review Today to assist them in ascertaining an up-to-date view of their financial status, including establishing the condition of their infrastructure portfolio for the purpose of identifying future funding requirements.

This report is concerned with GHD's review of City of Wollongong Asset Management systems and processes on 16th March 2007.

Our review took the form of a quality assessment, supported by GHD's TEAMQF (Total Enterprise Asset Management Quality Framework) model. TEAMQF is a gap analysis tool that is designed to establish collective confidence levels in a client's ability to deliver sustainable Asset Management solutions through developing and implementing 'appropriate' Asset Management plans. The assessment consisted of a desktop exercise and was based upon openness and honesty of the participants. It is not verified independently.

In general, we found that City of Wollongong is a technically astute and forward looking organisation, that has a good understanding of its Asset Management development needs and is taking a pro-active approach towards addressing them. To that end, whilst our assessment on 16th March 2007 shows that there is room for improvement at present, we worked closely with Council to understand and take account of its planned improvement projects (some of which will be implemented as soon as June 2007) and hereby forecast significant steps forward in the short to medium-term. Implementation of these improvements to Asset Management practices and processes will provide a firm platform to support the development and maintenance of the asset portfolio in line with rising demands, and provide a greater level of confidence in decisions regarding Councils assets.

We have provided recommendations on how the new system might be optimised to meet Council's business needs. Rather than provide a comprehensive program for the future we have limited our program so that Council has time to integrate its new systems into its business processes prior to seeking further incremental improvements.

It is recommended that a further focussed asset process review be undertaken in early 2008 to provide a roadmap for further development of Council's Asset Management practices and processes.



2. Introduction

2.1 Objectives and Scope

This high-level strategic review is intended to provide an overview of City of Wollongong Council's Asset Management systems and processes and subsequently its capability to produce a total Asset Management Plan that will ensure any improvements made at this stage can be sustained going forward. To achieve this we set two main objectives for the review:

1. To measure Council's Asset Management practices against Best Appropriate Practice as determined specifically for them.
2. To take account of planned improvements and forecast where Council will be in July 2007 post early implementation.

2.2 Considerations

This review involved an assessment of Council's Asset Management current and proposed systems and processes against GHD's Total Enterprise Asset Management Quality Framework (TEAMQF). The assessment comprises of a workshop with management and staff, incorporating:

- » a quality assessment process including all relevant Asset Management quality elements.
- » a balanced scorecard approach that prioritises element ratings using the Council's business drivers.
- » a consistent and repeatable quality rating system capable of being applied to other businesses, or to measure improvements over time.
- » a focused preliminary improvement program.

The asset base managed by Council at the time of this assessment comprised:

- » Roads;
- » Storm Water;
- » Buildings;
- » Roadside Furniture;
- » Recreational assets;

The findings from this review are "honesty" based to a large extent, and significant independent verification has not been undertaken of specific Asset Management activities.

3. TEAMQF Framework and Assessment Process

3.1 What is TEAMQF?

The “Total Enterprise Asset Management Quality Framework” (TEAMQF) has been developed by GHD over several years to assess the ability of asset rich organisations to manage their assets from a whole of business perspective.

The key question is “How confident are we that the right investment is being made at the right time?” TEAMQF attempts to answer this and provide a path to sustainable improvements in Asset Management. Application of TEAMQF leads to:

- » Higher confidence in the predictability of outcomes from capital and operating investment.
- » Sustained belief that improved performance is being achieved cost effectively.

The framework is continuously evolving to meet the demands of business and to reflect the world’s best practices in Asset Management assessment.

TEAMQF includes two key aspects, a “Gap Analysis” and the “Element-based Assessment” concept.

3.2 What is the “Gap Analysis”?

The gap analysis allows an organisation to understand “where it is relative to where it wants to be” in terms of Asset Management practices, within a specified period of time. The gap is the distance between the current and desired future status of the organisation.

The gap analysis allows an organisation to compare itself to those Asset Management practices that are considered reasonable and relevant for that particular organisation to embrace. This is not necessarily ‘World’s Best Practice’, and which may not be appropriate for the specific organisation due to factors such as its commercial objectives, its geographic spread, its asset profile, its regulatory environment and/or its urban or rural base. The important issue is to identify ‘Best Appropriate Practices’ (BAP) - those practices that fit the organisation’s needs in the most effective and efficient way.

The gap analysis serves three fundamental functions that match this review’s objectives:

- » to assess Asset Management processes, practices and systems against Best Appropriate Practice for the organisation;
- » to identify processes where the organisation has achieved excellence i.e. Best Appropriate Practice; and
- » to identify processes where the organisation requires improvement, guiding future action toward and measuring progress against Best Appropriate Practice.

3.3 What is an “Element-Based Assessment”?

A typical business is made up of a series of key organisational processes that must be managed if the organisation is to thrive. These processes are the source of GHD’s benchmark for assessing the current state of an organisation’s Asset Management practices. GHD has broken down a typical asset intensive organisation into 7 primary quality elements, 23 secondary elements and 173 tertiary quality elements. The 7 primary Asset Management quality elements are listed in Table 1.

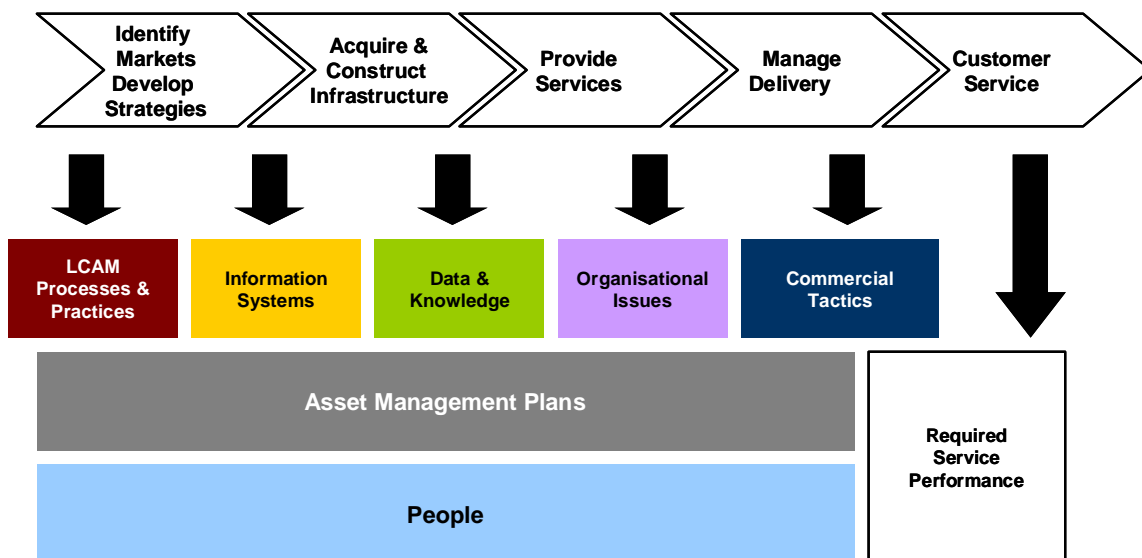
Table 1 The 7 Primary Asset Management Quality Elements

| Asset Management Quality Elements | |
|-----------------------------------|---|
| 1 | Process and practices used in the completion of life cycle Asset Management activities |
| 2 | Information systems required to support the processes and practices and store and manipulate the data and knowledge as required |
| 3 | Data and knowledge of the assets and asset performance, their appropriateness, adequateness and reliability |
| 4 | Commercial tactics used to efficiently carry out the work identified by the processes above |
| 5 | Organisational Issues comprising the structure, roles and responsibilities that exist to support life cycle Asset Management |
| 6 | People Issues comprising the attitudes, skills and endeavour of staff involved in the Asset Management process |
| 7 | Total Asset Management Plans, which form the key outputs from the above inputs and processes |

These seven primary elements are critical to achieving sustained performance of the organisation at the lowest life cycle cost. Each of the seven components adds value to the raw business processes consistent with regulations, customer demands and shareholder requirements.

All activities undertaken by a business should contribute to its value in terms of delivery. Each activity will be linked and form a component part of the business. Each activity will have a level of importance or weight measured by its contribution to the business. Figure 1 depicts the relationship between a typical asset based utility business and the seven primary Asset Management elements.

Figure 1 Key Business Process Chain – Typical Utility Business





Each organisation has a unique sense of the relative importance of the Asset Management quality elements because of their business, environmental, and social/cultural setting. By quantifying this relative importance through a relative weighting, the gap analysis yields the right balance of quality elements in order to prioritise improvements.

GHD has several weightings aimed at businesses during different phases of their path to sustainable Asset Management. GHD has developed a common weighting set for long-term sustainable Asset Management, which is used as a common benchmark between similar businesses. Other shorter-term business drivers from which weightings have been derived by GHD include:

- » Business efficiency
- » Growth or compliance capital
- » Renewals
- » Regulatory and pricing.

More than one weighting set can be developed to see the relative impact of changes in focus and to test the sensitivity of results. The audit process provides for the appropriate business drivers to be identified and for each primary and secondary quality element in the gap analysis to be weighted according to its contribution. The process is collaborative and can be modified at any stage.

3.4 What is the “Gap Audit Tool”?

The gap audit tool provides an interface for compiling, analysing and presenting information in a familiar and simplified environment known as a gap analysis chart.

There are 173 tertiary Asset Management quality elements that comprise over 1500 best practices associated with advanced Asset Management.

The scale of the gap analysis depicts progressive levels of Asset Management practice from 0 to 5 - from “Innocence” upward through “Awareness” and “Competence” to “Excellence.” Each level up the scale represents, as appropriate, better practices, data, information, organisation, and knowledge about the decisions being made.

The scale is somewhat like a ‘log scale’, that is, the effort required for an organisation to step from 0 to 1 is considerably less than to go from 1 to 5. This is consistent with the belief that early gains can be achieved relatively cheaply, but that considerably greater effort/cost is required to derive benefits as an organisation approaches optimum performance.

Each element is provided with a Quality Rating (QR) individually on the scale. The QR is an assessment of the current status of the business with respect to each element. It is estimated that the rating could vary in the order of 5 points in each of the quality elements - most ratings have been based on an assessment by GHD involving workshops and discussions and some document review with little verification.

The gap analysis also depicts the BAP rating as assessed for the business. The difference between the QR and the target or BAP, represents the ‘Gap’ between current practice and the desired short-term/long-term states, respectively.

3.5 The Improvement Plan

The scores for each element are ranked to produce a prioritised improvement plan. The scores are a combination of the Gap (between the current status quality rating and the target or BAP) and the weighting assigned to the particular AM element.

This ranking is then considered holistically and improvement elements are manually aggregated to form logically grouped improvements projects. The projects are prioritised to reflect project dependencies and sequences.

3.6 TEAMQF Assessment Process

The process steps adopted for this Asset Management Review comprise:

- » workshops with key managers and staff;
- » determination of business element weightings (by GHD);
- » understand and assess current performance levels in each of the relevant quality elements. Using this information we carried out:
 - BAP assessment, including setting appropriate practice and target ratings;
 - development of an improvement program;
 - preparation of a report.

3.6.1 Workshops

Our review consisted of a one-day workshop with selected management and staff from Council and the Asset Management Team to cover:

- » business drivers;
- » AM Element Assessment down to secondary level.

3.6.2 Current Practice Quality Ratings

The information sources noted above were used to derive a quality rating for each of the relevant secondary quality elements, representing the current position of City of Wollongong Council Asset Management systems and processes against a World's Best Practice rating of 100.

3.6.3 Best Appropriate Practice Quality Rating

Best Appropriate Practice is the justified sustainable business QR and is the QR that the organisation should be driving towards in the long term. Council expressed that they are comfortable with their current level of effectiveness, however are interested in working towards incremental improvements going forward. A QR of 100 is not practical or relevant for many organisations as this QR is considered World's Best Practice. BAP QRs have been assigned based on:

- » GHD's knowledge of government, council and other businesses gained from numerous previous assessments using this and predecessor Gap Analysis tools;
- » GHD's assessment of what is considered to be achievable and beneficial to the Asset Management Team in the long to medium term, given the identified business drivers; and

- » discussions during the workshops where target best practices were identified for the business, derived from specific detailed reviews and strategy plans, or determined from industry knowledge.

The difference between the current and BAP QR is defined as the 'gap' and has been used to define the organisation's improvement program.

3.6.4 AM Element Weightings

Primary and secondary Asset Management element weightings are applied to assist GHD in identifying priority areas for improvement. These weightings are pre-determined by GHD based upon our sustainable benchmark for a municipal organisation of City of Wollongong's size. The primary and secondary weightings applied in this study are shown in the dark blue column's in Table 2.

Table 2 City of Wollongong Asset Management Element Weightings

| Ref. No. | Primary Quality Element | Relative Weighting (Sustainable) % | Secondary Quality Element | Relative Weighting (Sustainable) % |
|----------|-------------------------|------------------------------------|---------------------------|------------------------------------|
| 1.01 | Processes & Practices | 30 | Demand Analysis | 15 |
| 1.02 | | | Knowledge | 8 |
| 1.03 | | | Accounting & Costing | 8 |
| 1.04 | | | Strategic Planning | 10 |
| 1.05 | | | CAPEX Evaluation | 15 |
| 1.06 | | | Business Risk | 6 |
| 1.07 | | | Creation/ Acquisition | 8 |
| 1.08 | | | Rationalisation/ Disposal | 2 |
| 1.09 | | | Operations | 10 |
| 1.10 | | | Maintenance | 12 |
| 1.11 | | | Work/Resource Management | 2 |
| 1.12 | | | Continuous Improvement | 4 |
| 2.01 | AM Information Systems | 15 | Primary Systems | 45 |
| 2.02 | | | Secondary Systems | 20 |
| 2.03 | | | Tertiary Systems | 20 |
| 2.04 | | | Systems Issues | 15 |
| 3.01 | Data & Knowledge | 15 | Primary Data | 40 |
| 3.02 | | | Secondary Data | 30 |
| 3.03 | | | Tertiary Data | 30 |
| 4.00 | Commercial Tactics | 15 | N/A | |
| 5.00 | Organisational Issues | 5 | N/A | |
| 6.00 | People Issues | 15 | N/A | |
| 7.00 | AM Plans | 5 | N/A | |

4. TEAMQF Analysis Outcomes

In general, we found that City of Wollongong is a technically astute and forward looking organisation, that has a good understanding of its Asset Management development needs and is taking a pro-active approach towards addressing them. With this in mind our assessment on 16th March 2007 showed that Council are currently weak in a number of areas and that there is room for improvement.

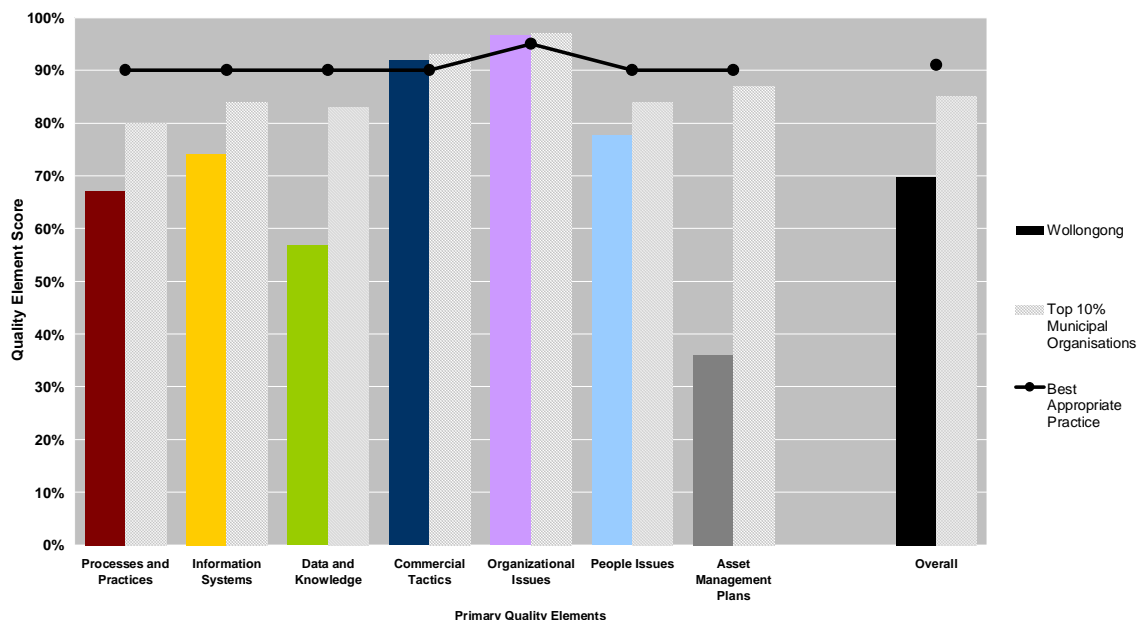
Given that Council already has plans in place to address some of its lesser developed areas, it was deemed beneficial to understand and take account of planned improvement projects.

4.1 TEAMQF Primary Element Ratings as at March 2007

Figure 2 shows the current level of performance against best appropriate practice in each of the primary elements assessed in our review. The shaded bar represents the top 10% of municipal organisations, based on previous studies conducted by GHD. The difference between the coloured bar and the black line represents the gap between City of Wollongong's current level of performance and the best appropriate practice for a Council organisation of their type.

The chart indicates that Council could realise performance improvements through further maturing its asset management processes in most areas.

Figure 2 Overall Primary Element Ratings as at March 2007



4.1.1 Processes and Practices

Council has a clearly developed Asset Management strategy and policy.

Council staff have a good understanding of the practices and process required to manage their assets and whilst many of the existing processes and practices require improvement Council has a structured plan to address these issues. The current vision aims to embed processes and practices that will ensure a greater level of confidence in decision-making regarding Council's assets and enable a more proactive approach.

The process for developing and managing service levels and the associated costs in line with customer service demands is a priority.

4.1.2 Information Systems

The information systems, as at March 2007, are fragmented and do not allow data to be captured and manipulated in a structured manner. These self-developed systems are a mixture of spreadsheets and paper-based systems and are not easy to maintain and audit.

However Council acknowledges the need to develop a more robust information system to support Asset Management and has developed clear objectives for data analysis and reporting requirements that are linked to the overall AM strategy and policy. Based on these requirements Council has selected and procured the Hansen AMIS Version 8 which is scheduled to be formally launched in July 2007.

Once implemented Council will use the system to:

- » facilitate Operations and Maintenance management through a structured work order system;
- » improve decision making capability through a better understanding of its assets and the associated life cycle costs;
- » be able to forward plan with greater confidence.

4.1.3 Data and Knowledge

Pending implementation of the Hansen Asset Management Information system, the amount and quality of council's data does not enable an accurate representation of the current status of its assets. Hence the data currently available does not allow Council to make strategic and tactical decisions regarding cost, risks and quality of service.

Implementing the Hansen system will provide the vehicle for a structured and consistent approach to data capture, analysis, retrieval and reporting.

Over time improved data and knowledge will support the development of advanced Asset Management capabilities, ultimately improving strategic and tactical/ operational control in areas such as activity-based costing, reporting at the asset level and life cycle management.

Council should ensure that training is provided on the new system prior to bringing it on-line.

4.1.4 Commercial Tactics

Council are currently performing close to BAP in the area of commercial tactics. With this in mind Council could improve their capability in service level development and management through a better understanding of the service level/cost relationship and stakeholder/ community consultation.



4.1.5 Organisational Issues

Under the current organisational structure the Asset Manager reports to the Group Manager People and Culture. This is an advantage as it provides Asset Management with a critical communication link to learn about, and influence future changes in service requirements. It also ensures that Council's asset management strategies and policies receive attention and can be corroborated at senior management level. Council is well positioned to deliver improvements in asset management and this is reflected in the score assigned above.

4.1.6 People Issues

The members of Council's Asset Management team that GHD met during our study had a very good grasp of the principles of asset management and most importantly the development needs of Council.

Council does not currently have formal processes for reviewing whether the appropriate skills and staff numbers and levels are available in a proactive manner. With this in mind Council's team consists of competent staff of various ages.

The implementation of the new work order system should support this in allowing Council to improve resource planning.

Further to this we believe that succession planning should be a key focus for Council going forward in light of an Australia wide shortage of skilled staff and council needs to understand and manage the associated risks.

Council felt that they would like to assign a greater focus to knowledge capture, and sharing via the intranet.

In light of the planned improvements, Council need to carry out a review of the current and required skills to identify any gaps, allowing them to plan future training requirements.

4.1.7 Total Asset Management Plan

Council does not currently have Asset Management Plan's.

Pending implementation of the Hansen Asset Management Information system they are not in a position to be able to develop Asset Management Plans with high-levels of confidence immediately.

With that said, good information does exist and Council should start to see vast improvement in the availability and quality of data beyond July 2007 when the Hansen AMIS is brought online.

GHD believe that good asset management plans are most valuable in assisting an organisation to take a proactive and strategic approach to managing its assets in line with service demands.

There are significant benefits to be realised from developing Asset Management Plans and therefore council should make developing this capability a priority. GHD would recommend that Council carry out a stage review of their ability to compile Asset Management plans in early 2008, with a view to developing plans throughout 2008.

A good Asset Management Plan will assist Council in:

- » ensuring the integration and co-ordinated development of existing policies, processes and practices within a formal management framework;



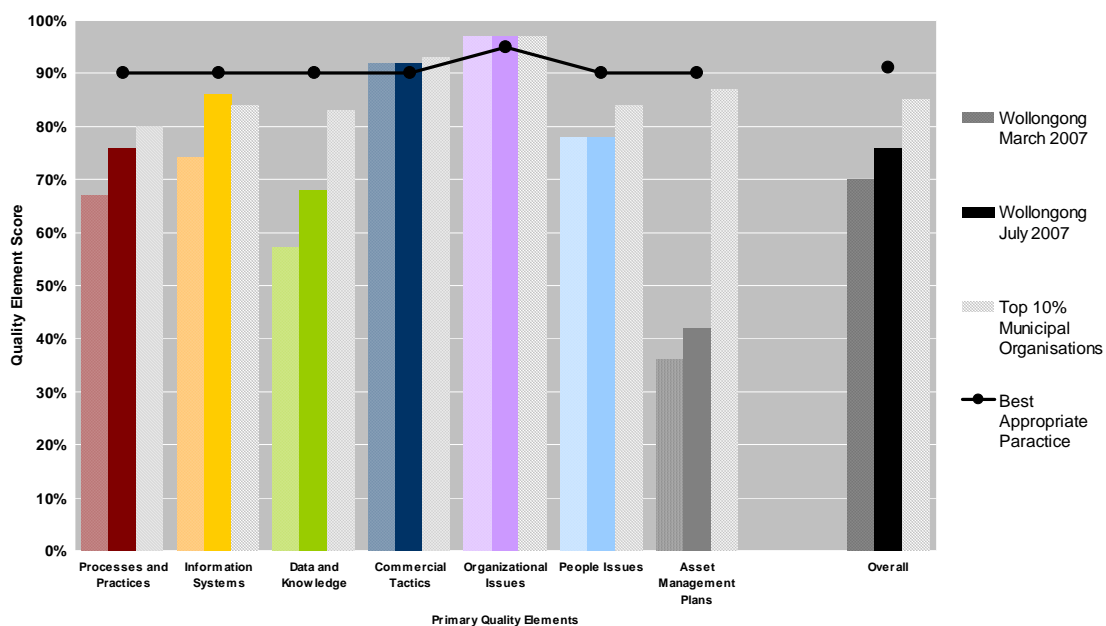
- » recognising and understanding clear linkages and interdependencies with other areas of the business;
- » improving strategic planning and tactical/ operational control;
- » proactively managing assets to provide the most effective platform for council's current service demands;
- » identifying rationale budgets and supporting these with quality data;
- » allocating funding in line with Council priorities;
- » optimising treatment strategies to make best use of limited resources;
- » satisfying legislative and statutory obligations;
- » identifying current and future risks that may impact the organisation (i.e. Threats to level and cost of service); and
- » providing a basis for continuous improvement through greater capture and control of issues;
- » Council will be able to justify future expenditure and funding strategies with greater confidence and the ability to provide customers and regulators alike, with visibility of the relationships between the level of service and the subsequent cost and risks associated.

4.2 TEAMQF Primary Element Ratings forecast at July 2007

Figure 3 shows the forecast level of performance in July 2007 against best appropriate practice in each of the primary elements assessed in our review. The shaded bar represents the top 10% of municipal organisations, based on previous studies conducted by GHD. The difference between the solid coloured bar and the black line represents the gap between City of Wollongong's forecast level of performance and the best appropriate practice for a Council organisation of their type. The faded coloured bar shows Council's existing level of performance and is taken directly from Figure 2.

The chart indicates that Council could realise performance improvements through further maturing its asset management processes in most areas.

Figure 3 Overall Primary Element Ratings Forecast at July 2007



4.2.1 General Observations

Figure 3 shows forecast improvements in the areas of Practices and Processes, Information Systems and Data and Knowledge.

Implementation of the Hansen AMIS and the subsequent integration of the finance system is a significant enhancement to Councils capability to capture, retrieve and manipulate information in relation to their assets.

As a result of bringing the new system on line Council should realise both intended and consequential improvements to its practices and processes.

Naturally Council should experience improvements in the areas of data storage and retrieval. Once implemented these initiatives should deliver improvements in data availability.

Council is currently working through a series of scheduled asset audits and plans to introduce an automated work order system in July 2007.

Some key improvements as a result of these initiatives will be:

- » clearer visibility of specific asset performance information; and
- » a better understanding of the lifecycle costs to operate and maintain.

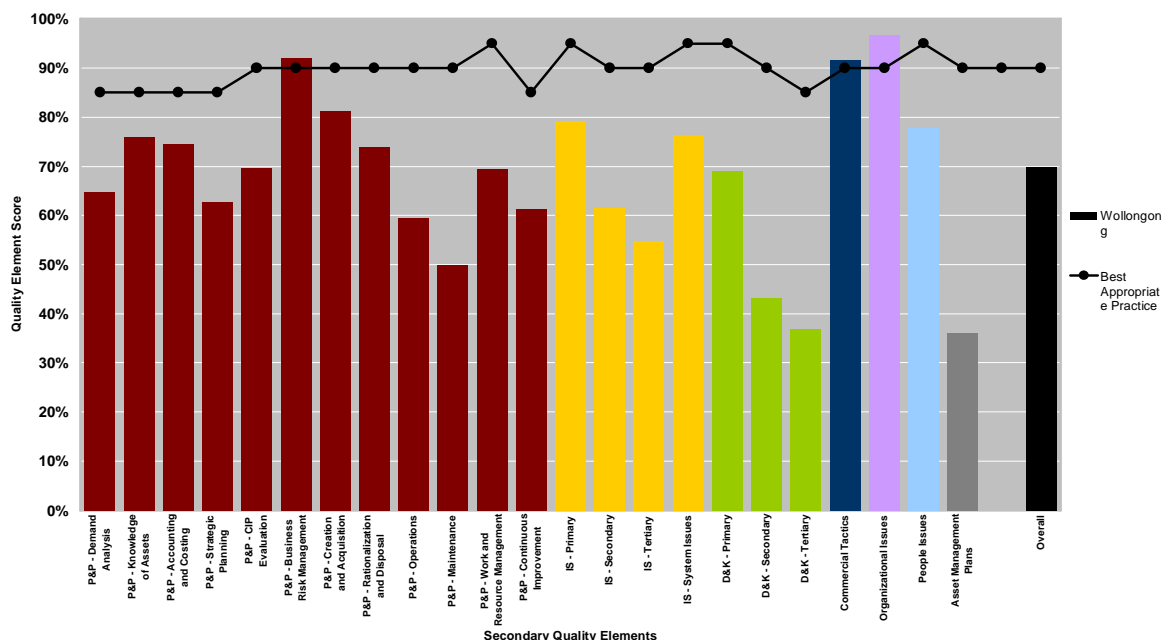
In order to optimise these improvements, we recommend that Council review the supporting practices and processes that relate to data analysis, application and reporting.

Beyond this we believe that Council should implement a further audit of its practices and processes in early 2008 to obtain a view of its progress and identify the next stage of incremental improvements.

4.3 TEAMQF Secondary Element Ratings as at March 2007

Figure 4 illustrates the overall secondary element ratings as they contribute to the primary level results shown in Figure 2. The detail questionnaire completed with Council, detailing their scores against BAP can be found in Appendix A.

Figure 4 Overall Secondary Element Ratings as at March 2007



4.3.1 Areas of Strong Performance

The secondary elements where Council, within the limitations of the assessment, were found to be performing at or close to Best Appropriate Practice are listed below. These areas do not necessarily



indicate that Council is performing close to World's Best Practice, as the BAP target used may be determined to be of a lower standard due to their specific needs or circumstances.

4.3.2 Processes and Practices

Demand Analysis

As part of Council's improvement plan it has worked through a process of identifying those assets that it 'needs' to collect information for and has subsequently scheduled audits.

Council should use this learning to develop formal data standards going forward.

Strategic Planning

Council has well established processes for engaging customers, regulators and stakeholders during long term strategic planning.

Business Risk Assessment and Management

City of Wollongong Council has a structured approach to risk assessment. There is a risk management policy and process in place. This ensures that risks are captured and co-ordinated at group, business stream and Council level.

Particular strengths include business continuity and emergency response plans.

Creation and Acquisition

Council has structured processes for contract administration and project management.

Continuous Improvement

Through initiating this review, Council has demonstrated its motivation to drive improvements in Asset Management.

This is re-enforced by the work carried out by Council prior to this review that has resulted in significant developments to the way in which Council manages its assets for the better.

4.3.3 Information Systems

Whilst the current information systems are fragmented and under-developed in terms of data content, Council has taken the appropriate action and is implementing a comprehensive off-the-shelf asset management system. Implementation of the system beyond July 2007 should deliver improvements across the board ultimately increasing Council strategic and operational/ tactical control of its asset base.

4.3.4 Commercial Tactics

Council has detailed procedures in place for selecting, procuring and auditing contractors and emerged to be performing at best appropriate practice in the area commercial tactics. Particular strengths include:

- » reviewing opportunities to package/ bundle contracts to deliver services in the most cost effective manner;
- » formal contract documentation and specifications to ensure quality outcomes;
- » formal processes for ensuring that contractors are briefed and have access to Council information that will support them doing a good job;



- » formal processes for contractor appraisal and qualification;
- » feedback mechanisms; and
- » a finance and control system that facilitates smooth transfer of documentation and invoices for administrative purposes.

4.3.5 Organisational Issues

Council has a well-defined organisational structure in place and Asset Management is represented on the senior management team.

Each area within asset management is assigned a coordinator and a project manager is responsible for asset management improvement initiatives.

Hence Council has a good handle on the strategic direction of the organisation and has a strategic plan that extends to 2015.

City of Wollongong Council are performing at or above best appropriate practice in this area.

4.3.6 People Issues

Within the Asset Management team, we felt that both the leadership and the staff are highly focused on their roles, they take pride in their work and are keen on improving Asset Management to the benefit of Council. This was re-enforced by the level of support assigned to this study.

4.3.7 Total Asset Management Plan Production Capability

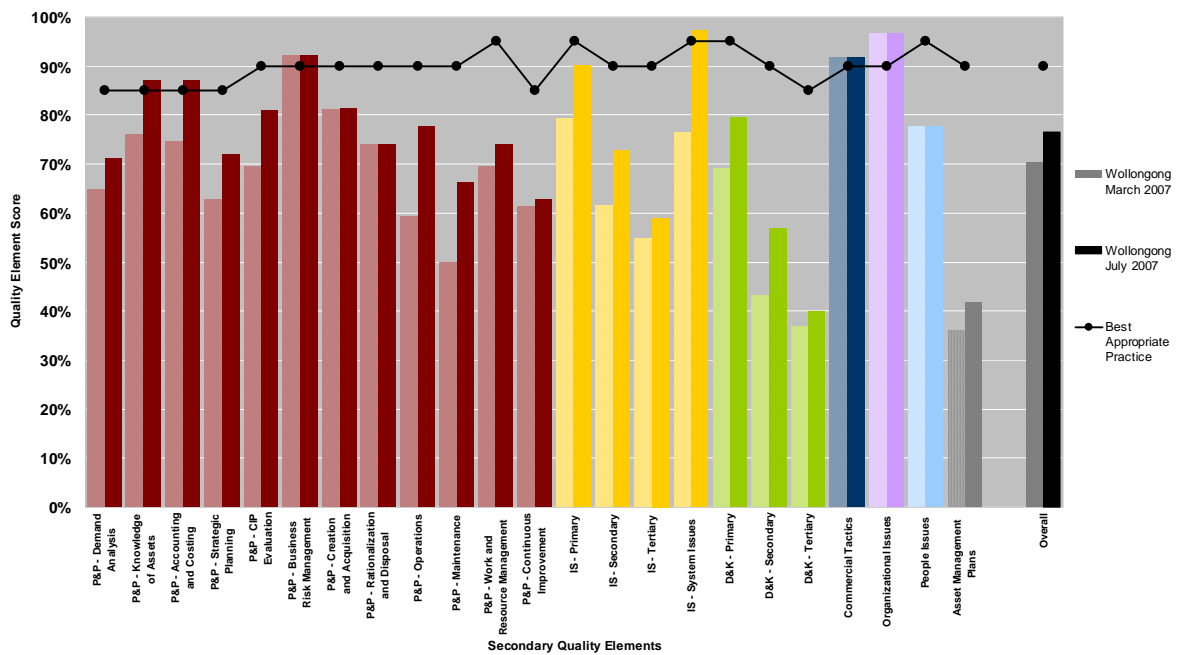
In general we believe that the City of Wollongong Council has the capability to produce high quality Asset Management plans. And whilst data quality is poor currently we believe that the bringing on line of the Hansen AMIS in July 2007 will deliver significant improvements in the amount and quality of data to support future decisions. By implementing the planned initiatives Council is therefore improving its capability to develop integrated Asset Management Plans that will support the overall Council management plan in defining and steering the contribution that assets make to achieving council goals.

Based on the improvement plan presented to GHD in March 2007, we believe that Council will be in a position to develop Asset Management plans in 2008.

4.4 TEAMQF Secondary Element Ratings Forecast at July 2007

Figure 5 illustrates the overall secondary element ratings forecast at July 2007. The faded coloured bar represents the current secondary element ratings taken directly from Figure 4

Figure 5 Overall Secondary Element Ratings Forecast at July 2007





5. Conclusions & Recommendations

In general, we found that City of Wollongong is a technically astute and forward looking organisation, that has a good understanding of its Asset Management development needs and is taking a pro-active approach towards addressing them.

To that end, whilst our assessment on 16th March 2007 shows that there is room for improvement at present, we worked closely with Council to understand and take account of its planned improvement projects (some of which will be implemented as soon as June 2007) and hereby forecast significant steps forward in the short to medium-term.

Implementation of these improvements to Asset Management practices and processes will provide a firm platform to support the development and maintenance of the asset portfolio in line with rising demands, and provide a greater level of confidence in decisions regarding Councils assets.

As clearly identified by Council, its current Asset Management System had significant limitations in managing the asset inventory of a growing metropolis.

We consider that Council has taken the appropriate action and is implementing a comprehensive off-the-shelf asset management system (Hansen V8).

City of Wollongong is clearly heading down the right track in raising its competencies in asset management with some fundamental areas already demonstrating best appropriate practice (Organisational issues, People).

In order to optimise these improvements going forward, we recommend that Council review the supporting practices and processes that relate to data application and reporting to ensure they are 'doing the right things' (i.e. by identifying we need to measure and report on?).

Beyond this we believe that it is prudent that Council implement a further audit of its practices and processes in early 2008 to obtain a view of its progress and identify the next stage of incremental improvements.



Appendix A
Completed Questionnaire

Based On Review Conducted March 2007



Scoring

The table below shows how you scored your organisation.

| 1 Processes and Practices - 1.01 Demand Analysis | | |
|---|---------------|---|
| <p>1.01.01 Processes for managing records of historic demands. (eg. How does the organization determine what data to collect, how is it maintained and who should maintain it?)</p> | 0 1 [2] 3 4 5 | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.01.02 Processes for breaking up demand into key drivers and understanding of the influences on demand. (eg. Does the organization understand the impacts of temperature, key stakeholders, regulations and demographic changes, etc)</p> | 0 1 [2] 3 4 5 | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.01.03 Processes for undertaking, analyzing and responding to customer and stakeholder surveys. (eg. Are surveys conducted and reported on?)</p> | 0 1 [2] 3 4 5 | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.01.04 Processes for defining levels of service. (eg. How are Customer Charters and Contracts developed and maintained? Are customer survey results used to set levels of service?)</p> | 0 1 [2] 3 4 5 | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.01.05 Processes for predicting future trends in demand for services based on historic and external influences. (eg. Does the organization undertake demand predictions developing pessimistic and optimistic scenarios?)</p> | 0 1 2 [3] 4 5 | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| 1 Processes and Practices - 1.02 Knowledge of Assets | | |



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| <p>1.02.01 Processes for defining the structure of the asset register and the level of detail of asset information that is collected and managed - the maintenance managed item (MMI). (eg. Is the structure and level of detail collected regularly reviewed? Is there a defined structure that is followed consistently?)</p> | <p>0 1 2 [3] 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.02.02 Processes defining the collection and management of asset attribute information. (eg. Is there a data standard defining this and how is the standard maintained? Is it clear what information is required to be collected on assets?)</p> | <p>0 1 2 [3] 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.02.03 Processes for determining what assets to collect condition data on, for undertaking the assessments and determining the potential residual lives. (eg. Is there a data standard defining this? How is it maintained?)</p> | <p>0 1 2 [3] 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.02.04 Processes for determining what assets to collect performance data on and for undertaking the collection. (eg. How well is the asset performing? Is there a data standard defining this?)</p> | <p>0 1 2 [3] 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.02.05 Processes for determining what assets to collect utilization on and for undertaking the collection. (eg. How often or extensively is an asset used? Is there a data standard defining this?)</p> | <p>0 1 2 3 [4] 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1 Processes and Practices - 1.03 Accounting and Costing</p> | | |
| <p>1.03.01 Processes for undertaking asset valuations. (eg. Are asset valuations undertaken and is the method documented? Is there a method to assess the quality of that valuation?)</p> | <p>0 1 2 3 [4] 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |



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| <p>1.03.02 Processes for determining the effective lives or residual economic lives of all assets in the register. (eg. Are these lives based on real data?)</p> | <p>0 1 2 [3] 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.03.03 Processes for tracking and reporting operational costs. (eg. Are these costs capable of being amalgamated from a suitable level up to a facility level and reported on?)</p> | <p>0 1 2 [3] 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.03.04 Processes for tracking and reporting maintenance costs. (eg. Are these costs available at an maintenance managed item level and capable of being amalgamated to a facility or asset level and being reported on?)</p> | <p>0 1 2 [3] 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.03.05 Processes for determining future renewal liabilities. (eg. Is the projected future expected expenditure on assets for the next 20 years calculated?)</p> | <p>0 1 [2] 3 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.03.06 Processes for determining residual business risk exposure. (eg. Is predicted operational risk exposure calculated which is due to decaying facilities or assets?)</p> | <p>0 1 2 [3] 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.03.07 Processes for determining what historical cost data should be collected on individual assets and how should this be archived. (eg. Can all the historic costs associated with a critical asset be reported?)</p> | <p>0 1 2 [3] 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |

1 Processes and Practices - 1.04 Strategic Planning



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| <p>1.04.01 Processes for predicting failure modes of assets. (eg. The way in which the organization predicts the likely failure modes for individual assets or its components.)</p> | <p>0 1 [2] 3 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.04.02 Processes for undertaking risk assessments of asset failure for inclusion within the planning process. (eg. What is the likelihood and consequence of a particular asset failing?)</p> | <p>0 [1] 2 3 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.04.03 Processes for making optimized asset renewal decisions by choosing the most economical solution time to renew / replace an asset. (eg. Does the process include all options for life extension including non asset solutions using life cycle cost analysis?)</p> | <p>0 [1] 2 3 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.04.04 Processes for assessing the life cycle cost of new assets where spent costs and existing configuration has no influence on the final solution. (eg. Are capital, maintenance and operational costs accounted for?)</p> | <p>0 1 2 [3] 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.04.05 Processes to identify cost reduction or service level improvement opportunities. (eg. Is this a random process or is it systematic?)</p> | <p>0 1 [2] 3 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.04.06 Processes for producing Asset Management Plans from a strategic perspective. The quality of these plans are dealt with under later. (eg. Is this a systematic and efficient process?)</p> | <p>0 [1] 2 3 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.04.07 Processes for working with customers, regulators and other stakeholders during long term strategic planning. (eg. Informing, seeking and incorporating feedback.)</p> | <p>0 1 2 3 4 [5]</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |



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| <p>1.04.08 Processes for demonstrating the links between capital / operating expenditure programs and overall business goals in triple bottom line terms (social, economic and environment). (eg. Are there links between the Asset Management program and the corporate plans?)</p> | <p>0 1 2 3 [4] 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.04.09 Processes for budget rationalisation. (eg. The matching of the asset plan and forecasted expenditure with available financial resources and the process by which the work is prioritized.)</p> | <p>0 1 2 [3] 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1 Processes and Practices - 1.05 Capital Expenditure Evaluation</p> | | |
| <p>1.05.01 Policy for the evaluation of capital expenditure projects. (eg. Does a corporate wide / uniform policy and clear process exist? Does it ensure a commercial / business like approach to this decision making? Does it define roles and responsibilities for key activities?)</p> | <p>0 1 2 [3] 4</p> | <p>0 = None, 1 = Under development, 2 = Documented in some business areas, 3 = Documented & covering whole business, 4 = Documented & fully implemented across whole business</p> |
| <p>1.05.02 Processes for categorizing the cause of expenditure. (eg. Are capital expenditure categorized into growth, renewal, regulations / levels of service and business efficiency investment categories?)</p> | <p>0 1 [2] 3 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.05.03 Processes for linking the sophistication and extent of the evaluation processes to the level of expenditure and the risk it represents to the organisation. (eg. Are more extensive evaluation techniques used for larger investments and risks to the business?)</p> | <p>0 1 2 3 [4] 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.05.04 Processes for linking service demand and the level of expenditure (necessary to achieve this sustainably) and determine the income / benefits generation needed. (eg. Has the business developed a funding model that allows each project to be reported in terms of its impact on the business in terms of meeting demand and income generation?)</p> | <p>0 [1] 2 3 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |



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| <p>1.05.05 Processes for evaluating supply or program delivery options. (eg. Are various methods of delivery considered and evaluated for each project? Internal or external resources, private / public partnerships, design and construct, BOOT.)</p> | <p>0 1 2 3 [4] 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.05.06 Processes to ensure the appropriate quality of operation and maintenance expenditure cost estimates (budgets) used in capital expenditure evaluation. (eg. How are life cycle maintenance and operation costs projected?)</p> | <p>0 1 [2] 3 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.05.07 Processes for investigating and recording alternative options to the lowest life cycle cost option for capital expenditure projects for use in budget rationalisation activities. (eg. Are 'do nothing', reduced capital, manage the risk and 'non-asset' solutions considered and recorded as options?)</p> | <p>0 1 2 [3] 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.05.08 Processes for economic evaluation of all capital and recurrent investment projects, including a clear policy by which each project should be evaluate. (eg. Are Net Present Value's, Internal Rate of Return, etc considered for all projects?)</p> | <p>0 1 2 [3] 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1 Processes and Practices - 1.06 Business Risk Management</p> | | |
| <p>1.06.01 Policy for the evaluation of all business risk exposure on an organization wide basis. (eg. Does a corporate wide policy exist? Does it clearly define roles and responsibilities for the key risk areas of strategy, financial and operational?)</p> | <p>0 1 2 3 [4]</p> | <p>0 = None, 1 = Under development, 2 = Documented in some business areas, 3 = Documented & covering whole business, 4 = Documented & fully implemented across whole business</p> |
| <p>1.06.02 Processes for risk identification relevant to each business unit. (eg. Do the risks considered include strategy, finance, information technology, engineering, and operations?)</p> | <p>0 1 2 3 4 [5]</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |



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| <p>1.06.03 Processes for quantifying likelihood and consequences of failure. (eg. Is this a simple points score or are full economic costs considered?)</p> | <p>0 1 2 [3] 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.06.04 Processes for analyzing risks, including the understanding of its make up and the ranking of the risks. (eg. Which part of the business represents the greatest risk? What is the greatest risk?)</p> | <p>0 1 2 3 4 [5]</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.06.05 Processes for managing risk reduction, including the assessment of mitigation options. (eg. How should the risk be mitigated and how are the risks tracked and reported?)</p> | <p>0 1 2 3 [4] 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1 Processes and Practices - 1.07 Creation and Acquisition</p> | | |
| <p>1.07.01 Processes for the successful Program Management of the asset creation or acquisition program. (eg. Process for the tracking of projects from the strategic planning stage (project identification) through to the final service delivery/ commissioning and handover.)</p> | <p>0 1 [2] 3 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.07.02 Processes for Contract Administration. (eg. Processes for managing all the contractors necessary for the works and the interface with the asset owner.)</p> | <p>0 1 2 3 4 [5]</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.07.03 Processes for Project Management. (eg. Processes for the financial cost control and timely delivery of a project and the mitigation of risks involved in this area.)</p> | <p>0 1 2 3 [4] 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |



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| <p>1.07.04 Processes for Value Engineering. (eg. How does the organization approach the issue of 'value engineering' and how well is this documented? How is the optimum design assessed and adopted?)</p> | <p>0 1 2 [3] 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.07.05 Processes that ensure the optimum maintainability / operability of new assets is achieved. (eg. Are design reviews by the operations and maintenance staff undertaken prior to final design and are these carefully assessed?)</p> | <p>0 1 [2] 3 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.07.06 Processes for ensuring appropriate construction standards and quality control is achieved in all asset creation and acquisition work. (eg. Are contractor audits and other quality control mechanisms used?)</p> | <p>0 1 2 3 [4] 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.07.07 Processes for asset commissioning and handover. (eg. Is all the required information collected at time of commissioning to match the data standards discussed in item 1.02 , including as-constructed drawings and operations/maintenance procedures and manuals. Is the initial performance of the asset assessed?)</p> | <p>0 1 2 [3] 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1 Processes and Practices - 1.08 Rationalization and Disposal</p> | | |
| <p>1.08.01 Processes for rationalizing the existing asset portfolio and disposal of unwanted assets. (eg. Identifying assets for disposal, mothballing or transfer to improve business effectiveness to reduce cost and release funds for other purposes.)</p> | <p>0 1 2 [3] 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.08.02 Processes for disposing of assets. The processes for good governance and ethical behavior in this area. (eg. Are these assets removed from the asset register and on other asset systems, eg. The GIS?)</p> | <p>0 1 2 [3] 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1 Processes and Practices - 1.09 Operations</p> | | |



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| <p>1.09.011 Processes for developing and maintaining operating procedures. (eg. Are new assets automatically included and how often are they reviewed?)</p> | <p>0 1 2 [3] 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.09.012 Quality of the actual Operating Procedures, which relate to the successful operation of all assets in relation to normal and emergency operations. (eg. Do these exist, cover all areas and assets down to the maintenance managed item level ?)</p> | <p>0 1 [2] 3 4</p> | <p>0 = None, 1 = Under development, 2 = Documented in some business areas, 3 = Documented & covering whole business, 4 = Documented & fully implemented across whole business</p> |
| <p>1.09.021 Processes for developing and maintaining operation manuals. (eg. Are new assets automatically included and how often are they reviewed? How should operators update the manuals when procedures change?)</p> | <p>0 1 2 [3] 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.09.022 Quality of the actual Operating Manuals and Standards. (eg. What form should do they take and does the manuals cover all assets?)</p> | <p>0 1 [2] 3 4</p> | <p>0 = None, 1 = Under development, 2 = Documented in some business areas, 3 = Documented & covering whole business, 4 = Documented & fully implemented across whole business</p> |
| <p>1.09.03 Processes for handling customer and stakeholder complaints. (eg. Are these tracked through the business from receipt to resolution? Is the customer kept informed of the progress of their complaint?)</p> | <p>0 1 [2] 3 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.09.041 Processes for the development and maintenance of Emergency Response Plans, including for what events, against what level and criticality of asset should these be completed. (eg. Are new assets automatically included and how often are they reviewed and what triggers the need for upgrades?)</p> | <p>0 1 2 3 4 [5]</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.09.042 Quality of the actual Emergency Response Plans. (eg. Do these exist and cover all asset services? Are they to the appropriate level of detail?)</p> | <p>0 1 2 3 [4]</p> | <p>0 = None, 1 = Under development, 2 = Documented in some business areas, 3 = Documented & covering whole business, 4 = Documented & fully implemented across whole business</p> |

1 Processes and Practices - 1.10 Maintenance



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| <p>1.10.01 Maintenance policy that defines where the organisation undertakes maintenance of its assets. (eg. Does a corporate wide policy exist and is it related to business goals and cost analysis ?)</p> | <p>0 [1] 2 3 4</p> | <p>0 = None, 1 = Under development, 2 = Documented in some business areas, 3 = Documented & covering whole business, 4 = Documented & fully implemented across whole business</p> |
| <p>1.10.02 Processes for maintenance planning. (eg. Is there a process for defining how each asset / asset type will be maintained? What is the basis for determining the maintenance procedure or activity for a single asset? Does this process cover all assets?)</p> | <p>0 [1] 2 3 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.10.03 Processes for maintenance scheduling. (eg. How does the organization determine the maintenance schedule or intervals for the prescribed maintenance activity?)</p> | <p>0 [1] 2 3 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.10.04 Processes for monitoring and controlling the maintenance program. (eg. Is there adequate reporting and feedback from field staff and information systems to enable the complete understanding of what is happening to the assets?)</p> | <p>0 [1] 2 3 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.10.05 Processes for recording and reporting maintenance costs down to the maintenance managed item level. (eg. Are asset costs reported and accessible? Is there a clear policy on what is required ?)</p> | <p>0 [1] 2 3 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.10.061 Processes for developing and maintaining contents of the Maintenance Manuals and Instructions. (eg. Are new assets automatically included and how often are they reviewed? What is the process by which the responsible staff can update them? Is the format specified?)</p> | <p>0 [1] 2 3 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.10.062 Quality of the Maintenance Manuals and Instructions. (eg. Do these exist and cover all business units/divisions and assets types?)</p> | <p>0 1 [2] 3 4</p> | <p>0 = None, 1 = Under development, 2 = Documented in some business areas, 3 = Documented & covering whole business, 4 = Documented & fully implemented across whole business</p> |



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| <p>1.10.07 Processes for reviewing and analyzing maintenance programs. (eg. Is this a systematic process? Are the trigger points and processes understood by all?)</p> | <p>0 [1] 2 3 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.10.08 Processes for developing maintenance strategies that incorporate the overall business drivers for maintenance, capital and system performance. (eg. Is there a corporate wide approach to developing maintenance strategies that covers all assets and amalgamate to higher levels?)</p> | <p>0 [1] 2 3 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1 Processes and Practices - 1.11 Work and Resource Management</p> | | |
| <p>1.11.01 Processes for matching skills to the demand for services / activities and allocating resources across the organization. (eg. What is the process for matching resource demand with available supply? Is it across the organization?)</p> | <p>0 1 [2] 3 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.11.02 Processes for prioritizing work orders. (eg. Are work orders allocated an rating or criticality score? Are these based on the risk to the business?)</p> | <p>0 1 2 [3] 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.11.03 Processes for managing larger projects that involve multiple tasks and tracking of those costs. (eg. Processes for the financial control and timely delivery of a group of work orders.)</p> | <p>0 1 2 3 [4] 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.11.04 Processes for controlling inventory or stock. (eg. Are work orders linked to the required spare parts? Are these spare parts ordered in advance of completing the work order?)</p> | <p>0 1 2 [3] 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |



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| <p>1.11.05 Processes for planning future work load and required resources. (eg. Does the organization predict and balance future work load for different skills and numbers of staff for all life cycle functions?)</p> | <p>0 [1] 2 3 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1 Processes and Practices - 1.12 Continuous Improvement</p> | | |
| <p>1.12.01 Quality Manual for Asset Management - a knowledge management system that contains all the processes and practice materials described previously. (eg. Does a manual exist? Does it cover all life cycle Asset Management functions?)</p> | <p>0 [1] 2 3 4</p> | <p>0 = None, 1 = Under development, 2 = Documented in some business areas, 3 = Documented & covering whole business, 4 = Documented & fully implemented across whole business</p> |
| <p>1.12.02 Asset Management Process Diagrams and Flowcharts. (eg. Are internal Asset Management processes mapped? Do they cover all Asset Management functions? Are they readily available to staff?)</p> | <p>0 1 [2] 3 4</p> | <p>0 = None, 1 = Under development, 2 = Documented in some business areas, 3 = Documented & covering whole business, 4 = Documented & fully implemented across whole business</p> |
| <p>1.12.03 Processes for internal quality assurance. (eg. Internal audit processes that ensure the best appropriate practices adopted by the business are followed across all business units.)</p> | <p>0 [1] 2 3 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.12.04 Processes for externally auditing and benchmarking Asset Management practices for both input (process) and output (cost activity) benchmarking. (eg. Does the organization undertake external input and output benchmarking?)</p> | <p>0 1 [2] 3 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.12.05 Processes followed for identifying cost reduction opportunities. (eg. Is this a random or systematic process? Does the organization have a process by which new ideas and suggestions are reviewed?)</p> | <p>0 1 [2] 3 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>1.12.06 Processes for implementing and reporting on the progress achieved with approved Asset Management improvement programs. (eg. Does the organization develop and track the progress of these programs?)</p> | <p>0 1 2 3 [4] 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |



| 2 Information Systems - 2.01 Primary Information Systems | | |
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| 2.01.01 Financial System. (eg. The system to store asset costing information. Chart of accounts, general ledger etc.) | 0 1 2 [3] 4 | 0 = None, 1 = Card/paper system or spreadsheet, 2 = Developed in-house - eg. MS Access, 3 = Externally developed & most functionality utilized, 4 = Externally developed - interfaced with other systems & functionality fully utilized |
| 2.01.02 Customer and / or Property Records System. (eg. System to track customer and related served property details.) | 0 1 2 [3] 4 | 0 = None, 1 = Card/paper system or spreadsheet, 2 = Developed in-house - eg. MS Access, 3 = Externally developed & most functionality utilized, 4 = Externally developed - interfaced with other systems & functionality fully utilized |
| 2.01.03 Complaints or Enquiries System. (eg. System to store the details and track customer complaints and enquires from receipt to conclusion.) | 0 1 [2] 3 4 | 0 = None, 1 = Card/paper system or spreadsheet, 2 = Developed in-house - eg. MS Access, 3 = Externally developed & most functionality utilized, 4 = Externally developed - interfaced with other systems & functionality fully utilized |
| 2.01.04 Asset Register System. (eg. System to store asset hierarchy and attributes for all assets that make up the asset system.) | 0 1 2 [3] 4 | 0 = None, 1 = Card/paper system or spreadsheet, 2 = Developed in-house - eg. MS Access, 3 = Externally developed & most functionality utilized, 4 = Externally developed - interfaced with other systems & functionality fully utilized |
| 2.01.05 Plans and Drawings Information System. (eg. System to manage, store and access the detailed drawings of all facilities and buildings.) | 0 1 2 [3] 4 | 0 = None, 1 = Card/paper system or spreadsheet, 2 = Developed in-house or stored on a network, 3 = Externally developed & most functionality utilized, 4 = Externally developed - interfaced with other systems & fully utilized |
| 2.01.06 Geographic Information System. (eg. System to spatially store asset locations and key attributes for all distributed and linear / networked assets including the base locations of assets.) | 0 1 2 3 [4] | 0 = None, 1 = Card/paper system or spreadsheet, 2 = Developed in-house - eg. MS Access, 3 = Externally developed & most functionality utilized, 4 = Externally developed - interfaced with other systems & functionality fully utilized |
| 2.01.07 Maintenance Management System. (eg. System to manage maintenance activities including activities / work orders / scheduling / controlling and costing for all assets down to maintenance managed item level.) | 0 1 [2] 3 4 | 0 = None, 1 = Card/paper system or spreadsheet, 2 = Developed in-house - eg. MS Access, 3 = Externally developed & most functionality utilized, 4 = Externally developed - interfaced with other systems & functionality fully utilized |



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| <p>2.01.08 Operations and Maintenance Manuals Storage System. (eg. Electronic System to store and track operations and maintenance manual materials.)</p> | <p>0 1 [2] 3 4</p> | <p>0 = None, 1 = Card/paper system or spreadsheet, 2 = Developed in-house or stored on a network, 3 = Externally developed & most functionality utilized, 4 = Externally developed - interfaced with other systems & fully utilized</p> |
| <p>2.01.08 Emergency Response Plans Information System. (eg. System to store and track emergency response plans, linked through to the asset register in accordance with the data standard.)</p> | <p>0 1 [2] 3 4</p> | <p>0 = None, 1 = Card/paper system or spreadsheet, 2 = Developed in-house or stored on a network, 3 = Externally developed & most functionality utilized, 4 = Externally developed - interfaced with other systems & fully utilized</p> |
| <p>2.01.09 Job Resource Management System. (eg. System to create and track work orders covering labor, plant, specialist tools and materials.)</p> | <p>0 1 2 [3] 4</p> | <p>0 = None, 1 = Card/paper system or spreadsheet, 2 = Developed in-house - eg. MS Access, 3 = Externally developed & most functionality utilized, 4 = Externally developed - interfaced with other systems & functionality fully utilized</p> |
| <p>2 Information Systems - 2.02 Secondary Information Systems</p> | | |
| <p>2.02.01 Knowledge Management System. (eg. System to store papers, guidelines, manuals, policies in relation to life cycle Asset Management of the organisation asset portfolio etc.)</p> | <p>0 1 [2] 3 4</p> | <p>0 = None, 1 = Card/paper system or spreadsheet, 2 = Developed in-house or stored on a network, 3 = Externally developed & most functionality utilized, 4 = Externally developed - interfaced with other systems & fully utilized</p> |
| <p>2.02.02 Inventory Spares and Purchasing System. (eg. System to track quantity and purchasing of spare parts. This system is linked to the construction and maintenance / operations systems and staff needs.)</p> | <p>0 1 [2] 3 4</p> | <p>0 = None, 1 = Card/paper system or spreadsheet, 2 = Developed in-house - eg. MS Access, 3 = Externally developed & most functionality utilized, 4 = Externally developed - interfaced with other systems & functionality fully utilized</p> |
| <p>2.02.03 Condition Assessment Records System. (eg. System to store condition data, and to analyse this with respect to the parameters or required levels of service.)</p> | <p>0 1 [2] 3 4</p> | <p>0 = None, 1 = Card/paper system or spreadsheet, 2 = Developed in-house or stored on a network, 3 = Externally developed & most functionality utilized, 4 = Externally developed - interfaced with other systems & fully utilized</p> |
| <p>2.02.04 Predicting Asset Capacity and Utilization. (eg. Capacity modeling tools for determining / simulating current asset capacity, eg. Pipeline capacity / road traffic models etc.)</p> | <p>0 [1] 2 3 4</p> | <p>0 = None, 1 = Card/paper system or spreadsheet, 2 = Developed in-house - eg. MS Access, 3 = Externally developed & most functionality utilized, 4 = Externally developed - interfaced with other systems & functionality fully utilized</p> |



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| <p>2.02.05 Asset Failure Prediction. (eg. Prediction of failure in terms of capacity , reliability, condition, performance and outages/ emergency failures. These allow the organization to model the full range of level of service failures.)</p> | <p>0 [1] 2 3 4</p> | <p>0 = None, 1 = Card/paper system or spreadsheet, 2 = Developed in-house - eg. MS Access, 3 = Externally developed & most functionality utilized, 4 = Externally developed - interfaced with other systems & functionality fully utilized</p> |
| <p>2 Information Systems - 2.03 Tertiary Information Systems</p> | | |
| <p>2.03.01 Risk Assessment Information System. (eg. System used for undertaking and storing risk assessments for both the consequences of failure and probability of failure.)</p> | <p>0 1 [2] 3 4</p> | <p>0 = None, 1 = Card/paper system or spreadsheet, 2 = Developed in-house - eg. MS Access, 3 = Externally developed & most functionality utilized, 4 = Externally developed - interfaced with other systems & functionality fully utilized</p> |
| <p>2.03.02 Data Warehouse. (eg. System to store, manage and report on data from other information systems. This system should complete basic manipulation and produce regular reports.)</p> | <p>0 1 [2] 3 4</p> | <p>0 = None, 1 = Card/paper system or spreadsheet, 2 = Developed in-house - eg. MS Access, 3 = Externally developed & most functionality utilized, 4 = Externally developed - interfaced with other systems & functionality fully utilized</p> |
| <p>2.03.04 Life Cycle Cost Modeling System. (eg. System for modeling the life cycle costs of different asset options and solutions for new assets where no spent costs are involved. It allows all supply options to be considered.)</p> | <p>0 [1] 2 3 4</p> | <p>0 = None, 1 = Card/paper system or spreadsheet, 2 = Developed in-house - eg. MS Access, 3 = Externally developed & most functionality utilized, 4 = Externally developed - interfaced with other systems & functionality fully utilized</p> |
| <p>2.03.05 Mobile Computing Facilities. (eg. Pocket PC's, laptops and tablets PC's to be used by field operations and maintenance staff for rapid data entry and live access and updating of work orders.)</p> | <p>0 [1] 2 3 4</p> | <p>0 = None, 1 = Developed business case, 2 = Aging technology or some usage, 3 = Business wide usage, 4 = Business wide usage - interfaced with other systems</p> |
| <p>2.03.06 Project Management Support Tools. (eg. Tools for tracking the timing and costing of multiple tasks / resources to produce the deliverables required.)</p> | <p>0 1 [2] 3 4</p> | <p>0 = None, 1 = Card/paper system or spreadsheet, 2 = Developed in-house - eg. MS Access, 3 = Externally developed & most functionality utilized, 4 = Externally developed - interfaced with other systems & functionality fully utilized</p> |
| <p>2.03.09 Store/Stock Optimization Systems. (eg. Systems for optimizing the level of stores and spare parts to be carried for like assets across the organization.)</p> | <p>0 1 2 [3] 4</p> | <p>0 = None, 1 = Card/paper system or spreadsheet, 2 = Developed in-house - eg. MS Access, 3 = Externally developed & most functionality utilized, 4 = Externally developed - interfaced with other systems & functionality fully utilized</p> |
| <p>2 Information Systems - 2.04 Information System Issues</p> | | |



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| 2.04.01 User friendliness of information systems. (eg. Are the information easy to use, quick to learn and make data input / extraction easy?) | 1 [2] 3 4 | 1 = Strongly disagree, 2 = Disagree, 3 = Agree, 4 = Strongly agree |
| 2.04.02 Information Systems are well integrated. (eg. The information systems are linked and data can be accessed from different access / entry points, eg. GIS /CMMS. Only one point of data update is required.) | 0 1 [2] 3 4 | 0 = None, 1 = Developed business case, 2 = Implementation has started, 3 = Some systems are interfaced/integrated, 4 = All required system are interfaced/integrated - no data is duplicated |
| 2.04.03 Access and Response of Information Systems. (eg. Staff have ready access to the information systems and response times are acceptable for both data entry and update.) | 0 1 [2] 3 4 | 0 = Local access only, 1 = Developed business case, 2 = Some sites connected, 3 = All remote sites connected with some slow speed connections, 4 = All remote sites connected with high speed connections |
| 2.04.04 Information Technology System Strategy. (eg. Does a corporate strategy exist? Is it comprehensive and include Asset Management systems? Does it accommodate expected usage and the growth in Asset Management data and information, access and system response times etc.) | 0 1 2 3 [4] | 0 = None, 1 = Under development, 2 = Documented in some business areas, 3 = Documented & covering whole business, 4 = Documented & fully implemented across whole business |
| 3 Data and Knowledge - 3.01 Primary Data and Knowledge | | |
| 3.01.01 Asset Categorization. (eg. Ability to group assets by type, location, material, facility etc. for reporting and manipulation.) | 0 [1] 2 3 | 0 = Assets are unable to be grouped, 1 = Assets can be grouped in one way only, 2 = Assets can be grouped in two or more ways, 3 = Assets can be grouped in any way |
| 3.01.02 Asset Hierarchical Structure. (eg. The level (maintenance managed item) to which asset information is collected and the ability to amalgamate asset costs and performance.) | 0 1 2 [3] 4 5 | 0 = None, 1 = Service type, 2 = Facility or system level, 3 = Asset type level, 4 = Asset level, 5 = Maintenance managed item level |
| 3.01.03 Asset Spatial Data. (eg. Spatial data stored within the GIS. Especially, all distributed linear assets and locations of larger facilities.) | 0 35 50 [65] 80 95 | 0 = No Data, 35 = 35% Accurate & complete, 50 = 50% Accurate & complete, 65 = 65% Accurate & complete, 80 = 80% Accurate & complete, 95 = 95% Accurate & complete |



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| <p>3.01.03 Drawing / Plans. (eg. Drawings and plans of assets and facilities.)</p> | <p>0 35 50 65 [80] 95</p> | <p>0 = No Data, 35 = 35% Accurate & complete, 50 = 50% Accurate & complete, 65 = 65% Accurate & complete, 80 = 80% Accurate & complete, 95 = 95% Accurate & complete</p> |
| <p>3.01.04 Basic physical attributes. (eg. Size, material, installation date, model etc.)</p> | <p>0 35 50 65 [80] 95</p> | <p>0 = No Data, 35 = 35% Accurate & complete, 50 = 50% Accurate & complete, 65 = 65% Accurate & complete, 80 = 80% Accurate & complete, 95 = 95% Accurate & complete</p> |
| <p>3.01.05 Asset valuation data. (eg. Current asset replacement values / historical value and written down depreciated values.)</p> | <p>0 35 50 [65] 80 95</p> | <p>0 = No Data, 35 = 35% Accurate & complete, 50 = 50% Accurate & complete, 65 = 65% Accurate & complete, 80 = 80% Accurate & complete, 95 = 95% Accurate & complete</p> |
| <p>3 Data and Knowledge - 3.02 Secondary Data and Knowledge</p> | | |
| <p>3.02.01 Detailed physical attributes. (eg. Manufacturer, spare parts and numbers etc.)</p> | <p>0 35 50 [65] 80 95</p> | <p>0 = No Data, 35 = 35% Accurate & complete, 50 = 50% Accurate & complete, 65 = 65% Accurate & complete, 80 = 80% Accurate & complete, 95 = 95% Accurate & complete</p> |
| <p>3.02.02 Asset condition data. (eg. Rating of asset condition data.)</p> | <p>0 35 50 [65] 80 95</p> | <p>0 = No Data, 35 = 35% Accurate & complete, 50 = 50% Accurate & complete, 65 = 65% Accurate & complete, 80 = 80% Accurate & complete, 95 = 95% Accurate & complete</p> |
| <p>3.02.02 Asset performance data. (eg. Recording and rating of asset performance.)</p> | <p>[0] 35 50 65 80 95</p> | <p>0 = No Data, 35 = 35% Accurate & complete, 50 = 50% Accurate & complete, 65 = 65% Accurate & complete, 80 = 80% Accurate & complete, 95 = 95% Accurate & complete</p> |



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| <p>3.02.03 Maintenance Data. (eg. Detailed maintenance history including activity and timing.)</p> | <p>0 [35] 50 65 80 95</p> | <p>0 = No Data, 35 = 35% Accurate & complete, 50 = 50% Accurate & complete, 65 = 65% Accurate & complete, 80 = 80% Accurate & complete, 95 = 95% Accurate & complete</p> |
| <p>3.02.04 Operations Data. (eg. Operations history and data on failure consequences management.)</p> | <p>0 [35] 50 65 80 95</p> | <p>0 = No Data, 35 = 35% Accurate & complete, 50 = 50% Accurate & complete, 65 = 65% Accurate & complete, 80 = 80% Accurate & complete, 95 = 95% Accurate & complete</p> |
| <p>3.02.05 Works and / or resource management data. (eg. The data related to the resource elements of work order history including labor, plant and materials work performed, in both capital and recurrent activities.)</p> | <p>0 35 [50] 65 80 95</p> | <p>0 = No Data, 35 = 35% Accurate & complete, 50 = 50% Accurate & complete, 65 = 65% Accurate & complete, 80 = 80% Accurate & complete, 95 = 95% Accurate & complete</p> |
| <p>3 Data and Knowledge - 3.03 Tertiary Data and Knowledge</p> | | |
| <p>3.03.01 Risk Assessment Data. (eg. Risk assessment data including probability and consequence of failure, and the subsequent business risk exposure.)</p> | <p>0 [35] 50 65 80 95</p> | <p>0 = No Data, 35 = 35% Accurate & complete, 50 = 50% Accurate & complete, 65 = 65% Accurate & complete, 80 = 80% Accurate & complete, 95 = 95% Accurate & complete</p> |
| <p>3.03.02 Cost history data. (eg. Full cost history of maintenance and operation activities together with depreciation and capital use charges where applicable.)</p> | <p>0 [35] 50 65 80 95</p> | <p>0 = No Data, 35 = 35% Accurate & complete, 50 = 50% Accurate & complete, 65 = 65% Accurate & complete, 80 = 80% Accurate & complete, 95 = 95% Accurate & complete</p> |
| <p>3.03.03 Data for costing of options. (eg. Cost summary for standard construction and rehabilitation techniques, maintenance and operational activities and options.)</p> | <p>0 35 50 [65] 80 95</p> | <p>0 = No Data, 35 = 35% Accurate & complete, 50 = 50% Accurate & complete, 65 = 65% Accurate & complete, 80 = 80% Accurate & complete, 95 = 95% Accurate & complete</p> |



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| <p>3.03.05 Life Cycle Cost Histories. (eg. Stored history of life cycle cost analysis calculations.)</p> | <p>[0] 35 50 65 80 95</p> | <p>0 = No Data, 35 = 35% Accurate & complete, 50 = 50% Accurate & complete, 65 = 65% Accurate & complete, 80 = 80% Accurate & complete, 95 = 95% Accurate & complete</p> |
| <p>4 Commercial Tactics - 4.01 Commercial Tactics</p> | | |
| <p>4.01.01 Core and non-core activities identified. (eg. Process to identify which activities are core and not core to the business.)</p> | <p>0 [1] 2 3 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>4.01.02 Contracts packaged to achieve economic efficiencies in the short and long term. (eg. How does the organisation optimize its contracts to get to get the lowest overheads and total costs of service delivery.)</p> | <p>0 1 2 3 4 [5]</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>4.01.03 Good quality contracts / specifications for contracts and service agreements. (eg. Do contracts deliver the full requirements of the organization and are they regularly updated?)</p> | <p>0 1 2 3 4 [5]</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>4.01.04 Processes for ensuring contractors have access to the required information and data. (eg. Can external contractors efficiently access data required to perform their tasks, with the integrity of the data protected?)</p> | <p>0 1 2 3 4 [5]</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>4.01.04 Processes exist for ensuring good feedback of data and knowledge back into the business from all contracted (external) and in-house (internal) service providers. (eg. Are service providers regularly providing feedback into the business? What is the quality of that information including completed work orders?)</p> | <p>0 1 2 3 [4] 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |



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| <p>4.01.05 Processes for monitoring the performance of sub-contractors. (eg. Are regular audits completed? Does the organization have a system to do this and link to performance based contract payments?)</p> | <p>0 1 2 3 [4] 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>4.01.06 Processes for assessing and selecting contractors. (eg. Is there a systematic process for different sized jobs? Is more than cost taken into account? Does the organization make use of panel contracts?)</p> | <p>0 1 2 3 4 [5]</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>4.01.07 Information and communication systems to support contract administration. (eg. The organizations information systems create an efficient environment in which contract scopes, approvals and payments are significantly automated?)</p> | <p>0 1 2 3 4 [5]</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>5 Organizational Issues - 5.01 Organizational Issues</p> | | |
| <p>5.01.01 Organization commitment to Asset Management. (eg. Is this documented in corporate policy / business plans, organizational objectives and mission statements in such a way as to show its importance to the business?)</p> | <p>0 1 2 3 [4]</p> | <p>0 = None, 1 = Under development, 2 = Documented in some business areas, 3 = Documented & covering whole business, 4 = Documented & fully implemented across whole business</p> |
| <p>5.01.01 Single executive manager with Asset Management responsibility. (eg. Is it clearly documented who has the responsibility for asset decisions in the organization? Are the roles and responsibilities clearly defined throughout the structure?)</p> | <p>1 2 3 [4]</p> | <p>1 = Strongly disagree, 2 = Disagree, 3 = Agree, 4 = Strongly agree</p> |
| <p>5.01.02 Asset Management roles and responsibilities. (eg. Are they clearly defined right across and down the organization? Are they linked to job specifications?)</p> | <p>0 1 2 [3] 4</p> | <p>0 = None, 1 = Under development, 2 = Documented in some business areas, 3 = Documented & covering whole business, 4 = Documented & fully implemented across whole business</p> |
| <p>5.01.03 Asset Management Coordinating Group or Steering Committee. (eg. Is there an Asset Management steering committee with links into the board and executive management?)</p> | <p>0 1 2 3 [4]</p> | <p>0 = None, 1 = Under development, 2 = Narrow representation across business & meets on ad hoc basis, 3 = Broad representation & meets infrequently, 4 = Broad representation & meets regularly with developed action plans</p> |



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| <p>5.01.04 Asset Management team or coordination group. (eg. Does this group exist within the business?)</p> | <p>0 1 2 3 [4]</p> | <p>0 = None, 1 = Under development, 2 = Narrow representation across business & meets on ad hoc basis, 3 = Broad representation & meets infrequently, 4 = Broad representation & meets regularly with developed action plans</p> |
| <p>5.01.05 Asset Management coordinator in every asset service area / business unit. (eg. Does this position exist within the business?)</p> | <p>0 1 2 [3] 4</p> | <p>0 = None, 1 = Under development, 2 = Documented in some business areas, 3 = Documented & covering whole business, 4 = Documented & fully implemented across whole business</p> |
| <p>5.01.06 The corporate vision reflects a commitment to best practice in Asset Management. (eg. Does the organization display a documented vision for Asset Management on the wall?)</p> | <p>0 1 2 [3] 4</p> | <p>0 = None, 1 = Under development, 2 = Documented in some business areas, 3 = Documented & covering whole business, 4 = Documented & fully implemented across whole business</p> |
| <p>6 People Issues - 6.01 People Issues</p> | | |
| <p>6.01.01 Working knowledge of the profile of the organizations staff skills and ages. (eg. Has a skill and age matrix been developed?)</p> | <p>0 1 2 [3] 4</p> | <p>0 = None, 1 = Under development, 2 = Documented in some business areas, 3 = Documented & covering whole business, 4 = Documented & fully implemented across whole business</p> |
| <p>6.01.02 Good attitude and culture. (eg. Does the organization have a 'can do' attitude? Is the staff culture and attitude/enthusiasm treated as critical by the organization)</p> | <p>0 1 2 [3] 4</p> | <p>0 = None, 1 = Under development, 2 = Documented in some business areas, 3 = Documented & covering whole business, 4 = Documented & fully implemented across whole business</p> |
| <p>6.01.03 Processes to manage and implement change through the business. (eg. How does the organization respond to change? What mechanisms have been put in place to assist the change process and make it part of the culture?)</p> | <p>0 1 2 3 [4] 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |



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| <p>6.01.04 Processes for reviewing whether the appropriate skills and staff numbers are available. (eg. Can the required skills be accessed in both Asset Management and project work? Do you have a process to justify staffing levels from best appropriate Asset Management practices?)</p> | <p>0 [1] 2 3 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>6.01.05 Processes for managing human resources across the business. (eg. Staffing skills and numbers are known and predictions are made of future needs? New staff are inducted and trained in Asset Management to suit needs? Succession planning is catered for?)</p> | <p>0 1 2 3 [4] 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>6.01.06 Processes for the development and implementation of training programs. (eg. Are regular training sessions held? Have skill deficiencies been identified? Is training matched to the business needs?)</p> | <p>0 1 2 3 [4] 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>6.01.07 Processes for the management of knowledge throughout the business. (eg. How does the business update and manage critical business and sector knowledge? How is this disseminated to staff?)</p> | <p>0 1 [2] 3 4 5</p> | <p>0 = Little or no knowledge, 1 = Little knowledge & ad hoc processes, 2 = Good knowledge & ad hoc processes, 3 = Consistent processes & partially documented, 4 = Extensive knowledge & partially documented, 5 = Fully documented & externally audited</p> |
| <p>7 Asset Management Plans - 7.01 Asset Management Plans</p> | | |
| <p>7.01.00 Asset Management Plans (AMP's) exist for each service provided. (eg. Separate plan for roads, potable water, wastewater, drainage, parks and gardens, buildings and facilities etc.)</p> | <p>[0] 1 2 3 4</p> | <p>0 = None, 1 = Under development, 2 = Documented for some assets/asset types, 3 = Documented for all assets/asset types, 4 = Documented & fully implemented (used) for all assets/asset types</p> |
| <p>7.01.01 AMP's include a record of current standards and level of service. (eg. Are these documented?)</p> | <p>[0] 1 2 3 4</p> | <p>0 = None, 1 = Under development, 2 = Documented for some assets/asset types, 3 = Documented for all assets/asset types, 4 = Documented & fully implemented (used) for all assets/asset types</p> |
| <p>7.01.02 AMP's include knowledge of the assets. (eg. Can the reader quickly understand the extent of the assets including age, condition, performance, value, cost and location? The whole asset portfolio should be included.)</p> | <p>[0] 1 2 3 4</p> | <p>0 = None, 1 = Under development, 2 = Documented for some assets/asset types, 3 = Documented for all assets/asset types, 4 = Documented & fully implemented (used) for all assets/asset types</p> |



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| <p>7.01.03 AMP's include projected (future) demands and levels of service. (eg. Does the organization have a vision of the future demands including growth / decline and levels of service? Are the key impacts identified?)</p> | <p>[0] 1 2 3 4</p> | <p>0 = None, 1 = Under development, 2 = Documented for some assets/asset types, 3 = Documented for all assets/asset types, 4 = Documented & fully implemented (used) for all assets/asset types</p> |
| <p>7.01.04 AMP's include predictions of failure modes. (eg. Are all failure modes identified including growth, renewal (reliability and mortality structural integrity) , failing levels of service, and business efficiency? Could the organization save money if it invested in new technology.)</p> | <p>[0] 1 2 3 4</p> | <p>0 = None, 1 = Under development, 2 = Documented for some assets/asset types, 3 = Documented for all assets/asset types, 4 = Documented & fully implemented (used) for all assets/asset types</p> |
| <p>7.01.05 AMP's include the consequences of failure if the assets are not maintained and renewed. (eg. Are consequences of not maintaining or renewing assets adequately quantified and summarized?)</p> | <p>[0] 1 2 3 4</p> | <p>0 = None, 1 = Under development, 2 = Documented for some assets/asset types, 3 = Documented for all assets/asset types, 4 = Documented & fully implemented (used) for all assets/asset types</p> |
| <p>7.01.06 AMP's include optimal renewal strategies to extend the life of individual assets, facilities and systems. (eg. Are renewal strategies identified and future funding requirements predicted?)</p> | <p>[0] 1 2 3 4</p> | <p>0 = None, 1 = Under development, 2 = Documented for some assets/asset types, 3 = Documented for all assets/asset types, 4 = Documented & fully implemented (used) for all assets/asset types</p> |
| <p>7.01.07 AMP's include the capital works necessary to service new works or customers. (eg. What new works will be undertaken, when and how much will they cost? Has the program been validated?)</p> | <p>[0] 1 2 3 4</p> | <p>0 = None, 1 = Under development, 2 = Documented for some assets/asset types, 3 = Documented for all assets/asset types, 4 = Documented & fully implemented (used) for all assets/asset types</p> |
| <p>7.01.08 AMP's include operations and maintenance programs. (eg. Are the operational and maintenance strategies, and predicted costs rolled into this plan?)</p> | <p>[0] 1 2 3 4</p> | <p>0 = None, 1 = Under development, 2 = Documented for some assets/asset types, 3 = Documented for all assets/asset types, 4 = Documented & fully implemented (used) for all assets/asset types</p> |
| <p>7.01.09 AMP's should include the most cost effective option for asset improvements. (eg. Have all asset options been considered, including non-asset solutions and the 'do nothing' option?)</p> | <p>[0] 1 2 3 4</p> | <p>0 = None, 1 = Under development, 2 = Documented for some assets/asset types, 3 = Documented for all assets/asset types, 4 = Documented & fully implemented (used) for all assets/asset types</p> |



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| <p>7.01.10 AMP's should include reference to customer or stakeholders for consultation clearly showing them the future sustainable cost and levels of service over a period of at least 30 years. (eg. Are customer / stakeholders consulted with this information and is their feedback taken into account?)</p> | [0] 1 2 3 4 | 0 = None, 1 = Under development, 2 = Documented for some assets/asset types, 3 = Documented for all assets/asset types, 4 = Documented & fully implemented (used) for all assets/asset types |
| <p>7.01.11 AMP's include links to the businesses goals which should be related to customer and stakeholder expectations. (eg. How does the plan demonstrate that it is meeting these business goals and customer expectations?)</p> | [0] 1 2 3 4 | 0 = None, 1 = Under development, 2 = Documented for some assets/asset types, 3 = Documented for all assets/asset types, 4 = Documented & fully implemented (used) for all assets/asset types |



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