

WORK INSTRUCTION

Field Audit & Quality - CIAW Option 2 & Option 1 URD Final Audits Work Instruction

Document ID: JEQA4UJ443MT-150-347
(Formerly 12-15-W0004 and 12-15-W0022)

Purpose

This Work Instruction documents the overall process for Field Audit & Quality (FA&Q) group audits of Option 2 projects (both UG and OH) and Option 1 URD projects.

It is intended for use by project stakeholders and details the end-to-end process from audit initiation to issue of an Approved Network Final Audit report.

It does not cover the Project Delivery group's CIAW processes associated with project design approval, subdivision Consent to Statement of Compliance or tie-in connection to the electricity network.

Application

This Work Instruction applies to all Powercor UG and OH electrical distribution system projects up to 22kV constructed by both approved external resources (Recognised Option 2 Electrical Contractors and VEDN endorsed Civil Contractors) under the Powercor Option 2 process; and also URD projects constructed by Powercor resources and VEDN endorsed Civil Contractors under the Option 1 process.

These projects are subject to mandatory Final Audit and an approved audit must be obtained before tie-in connection to the CitiPower/Powercor electrical network.

CitiPower "Contestable" projects are not covered by this Work Instruction as the contestable model employed by CitiPower does not include recognised external contractors. The current CitiPower Resource Partner contractors are generally utilised for this activity.

Qualifications and Skills

Audit applications may only be received from Recognised Project Management companies endorsed in the appropriate categories by the CP/PAL Field Audit and Quality Manager. Applications must also nominate the recognised PM1/2 and all recognised project service providers (contractors).

Note: Cable Detailers are endorsed separately by the Manager Design Performance and the TR&DS group (refer to Related Documents).

The field audit activities outlined may only be undertaken by CP/PAL personnel authorised by the Field Audit and Quality Manager and who hold and maintain the following qualifications and skills:

- Relevant Electricity Industry qualifications and experience
 - Appropriate CP/PAL Network Access authority
 - VESI authorities and training identified by the VESI Skills Matrix for the role of Auditor. A current Australian Electricity Supply Industry Passport must be maintained.
 - Authorised VEDN Network Auditor (CP/PAL)
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Warnings and Hazards

The electrical assets subject to audit are not yet alive and have not been cleared for service - they are classified as “under construction”. However other adjacent electrical assets in the area may be alive, or there may be existing live electrical assets within the project area. Prior to commencement of the audit the auditor must identify all electrical assets in the vicinity, confirm the electrical status of the assets to be audited and maintain appropriate Safe Approach Distances from any adjacent live assets. A Modiewark voltage test may be undertaken on the “under construction” assets to confirm their status as a secondary assessment only.

Due consideration and caution must also be shown to the assets of other authorities that may be charged, pressurised or in-service.

Refer to Work Instruction JEQA4UJ443MT-150-438 “Conduct Field Audit & Quality Group Audits” for further safety considerations.

Definitions and Acronyms

Definitions, acronyms and abbreviations used in this document:

- CIAW - Customer Initiated Augmentation Work
 - CP/PAL - CitiPower Pty/Powercor Australia Ltd
 - OH and UG - Overhead and Underground
 - Option 1/2 - A customer selection indicating if a project is to be constructed by CitiPower/Powercor resources (Option 1) or a recognised external service provider (Option 2). Only applicable to projects deemed contestable.
 - Salesforce - Web based IT application adopted by CP/PAL for audit management.
 - URD - Underground Residential/Reticulated Distribution/Development. Generic industry term for underground distribution to customers and also applies to industrial subdivisions and lighting schemes.
 - VEDN - Victorian Electricity Distribution Network. Panel with representatives from all Victorian electricity distribution companies whose purpose is to regulate civil contractor accreditation and auditor endorsement for electrical infrastructure works. Sub-committee of VESI. Refer: www.vesi.com.au
 - VEDN Network Auditor - Person authorised by the Electricity Network Owner to carry out audit inspections on its behalf.
 - VESI - Victorian Electricity Supply Industry. Panel with representatives from all Victorian electricity distribution companies whose purpose is to review, develop and document common business activities. Refer: www.vesi.com.au
 - PM1/PM2 - Recognition categories for Opt. 2 external client Project Managers.
 - PDS/PDL - Project Delivery Specialist, Senior Project Delivery Lead or Project Delivery Lead - Opt. 1 internal Powercor Project Managers.
 - TR&DS - CitiPower/Powercor Technical Records and Drafting Services
 - NDD - Non-Destructive Digging
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Related Documents

This Work Instruction supports the following documents:

refer: www.powercor.com.au

- Field Audit & Quality Audit Policy JEQA4UJ443MT-150-336
- The Worksite Inspection Report r: SRCE-447194848-37942
- The worksite Inspection Report Work Instructions JEQA4UJ443MT-150-348)

This Work Instruction is supported by the following documents:

- Field Audit & Quality - Submitting a Salesforce Option 2 Network Final Audit Request Work Instruction JEQA4UJ443MT-197-11 refer: www.powercor.com.au
- Field Audit & Quality CIAW Option 2 & Option 1 URD Final Audits Guideline JEQA4UJ443MT-160-93
- Conduct Field Audit & Quality Group Audits JEQA4UJ443MT-150-438
- Field Audit & Quality Audit Scoring Procedure JEQA4UJ443MT-150-385
- Salesforce - Field Audit & Quality “How to” notes and instructions on the Field Audit & Quality Team Site
- Recognised Contractors List for Customer Initiated Augmentation Works JEQA4UJ443MT-151-64* (formerly 04-30-G0002) refer: www.powercor.com.au
- List of Recognised Cable Detailers for CitiPower-Powercor Contestable Works JEQA4UJ443MT-160-96* (formerly 04-30-G0008) refer: www.powercor.com.au
- Network Final Audit Request Form JEQA4UJ443MT-160-182
- Acceptance of Re-audit Costs Form JEQA4UJ443MT-160-102*

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Issue Number, Date & Review

The Issue Number of this Work Instruction is: Issue No. 8

The Issue Date of this Guideline is: July 2021

The Guideline was last reviewed by the Business Process Owner on July 2021

Document Owners

- Business Process Owner (BPO) title: Field Audit and Quality Manager
 - Business Process Analyst (BPA) title: Quality Assurance Officer
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Process Steps outline

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- 1. Audit Initiation by Electrical Project Manager** The request for a final CP/PAL audit of a project is made by the Electrical Project Manager. Document requirements for the application can be found in document JEQA4UJ443MT-197-11. This document is available in source for CP/PAL personnel and on the CP/PAL website for contractors.
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- 2. Review Application by Audit Scheduler** Documentation submitted by the Electrical Project Manager is reviewed by the scheduler for compliance with requirements.
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- 3. Accept or Decline Audit Application by Salesforce Scheduler** Incomplete or non-compliant applications may be declined and returned to the Electrical Project Manager who will need to provide the missing information or documentation. The process re-starts from step 1.
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- 4. Schedule Audit by Salesforce Scheduler** The scheduler determines when the audit can be completed and schedules the audit.
Notification of the audit is sent to the Electrical Project Manager, the CP/PAL Project Manager and the CP/PAL Auditor.
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- 5. Advise Stakeholders by Electrical Project Manager** The responsible Electrical Project Manager must notify the civil contractor of the audit schedule date when applicable.
The provision of worksite traffic management, site access and when required excavation machinery is the responsibility of the Electrical Project Manager.
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- 6. Review Final Audit Application by CP/PAL Auditor** The information provided by the Electrical Project Manager is reviewed by the CP/PAL auditor. When major issues onsite have not been rectified or when a health and safety issue is identified the auditor may decline the audit and advise the scheduler.
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- 7. Accept or Decline Audit Application by Salesforce Scheduler** The scheduler notifies the Electrical Project Manager of the issues identified by the auditor. The process re-starts from step 1.
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- 8. Commence Audit by CP/PAL Auditor** The auditor reviews documents and attends the project to conduct an inspection of the electrical assets.

9. Civil Contractor Excavates Inspection Points When requested the civil contractor conducts excavations at the locations nominated by the auditor.

10. Complete Audit by CP/PAL Auditor The auditor conducts the project inspection and records any non-conformances identified.

11. Approved Audit Report Issue by CP/PAL Auditor The auditor completes an audit report and issues a copy to the Electrical Project Manager.

12. Unapproved Audit Report Issue by CP/PAL Auditor The auditor completes an audit report listing the non-conformance in Salesforce and issues a copy to the Electrical Project Manager who must take action to resolve non-conformances.

13. Approved Audit Report Receipt by Electrical Project Manager The Electrical Project Manager submits the approved audit report and the relevant documents to the Powercor Responsible officer who undertakes the next steps towards completion of the project.
When the audit report is unapproved refer to step 14 below.

14. Unapproved Audit Report Receipt by Electrical Project Manager The Electrical Project Manager must take steps to ensure that non-compliances identified during the audit are rectified and evidence provided within 21 days.
When a re-audit is required refer to step 15 below.

15. Re-Audit Required Unapproved Audit Report Receipt by Electrical Project Manager When major or numerous non-compliances are identified during a final audit a re-audit may be required. The Electrical Project manager is required to ensure that rectifications are completed. This must be done within 21 days.
The audit process re-commences at step 1.

16. Manage Rectification by the Electrical Project Manager

The Electrical Project Manager must manage resolution of all identified non-compliances by relevant stakeholders and compile evidence and within 21 days. All issues identified on the audit report must be rectified and the Electrical Project Manager shall ensure that any locations on the project containing similar infrastructure are also inspected for compliance. An additional VEDN audit may be required before the next CP/PAL final audit can be requested.

17. Forward Evidence by the Electrical Project Manager

The Electrical Project Manager must provide the rectification advice to the CP/PAL auditor and in the case of a re-audit make the application as detailed in step 1

18. Issue Approved Report by CP/PAL Auditor

When satisfactory rectification information is provided the CP/PAL auditor will issue the approved audit report to the Electrical Project Manager via Salesforce. Refer to step 13 above for the next step.

Process Steps Detail

- 1. Audit Initiation By Electrical Project Manager**

Option 2 Final Audit Request applications for both new audits and re-audits are submitted in Salesforce in accordance with the instructions outlined in “Field Audit & Quality - Submitting a Salesforce Option 2 Network Final Audit Request Work Instruction” JEQA4UJ443MT-197-11. Re-audits must accept the re-audit fee.

Option 1 audit and re-audit requests are currently submitted directly to the FA&Q email inbox fieldauditandquality@powercor.com.au , and the required documentation is the same as specified in the above Work Instruction, but must also include a “Network Final Audit - URD Projects” request form , document number JEQA4UJ443MT-160-182 (formerly 12-15-F0040).

Requests for a Salesforce account can be forwarded to the email inbox fieldauditandquality@powercor.com.au which is the contact point for all audit issues.

Typically Powercor will undertake URD audit requests an issue an audit report within 5-8 business days following a satisfactory final audit request from the Electrical Project Manager. This includes conducting the audit and issuing the audit report. This timeframe may be subject to variation during peak periods of high audit demand. Audit may be issued the same day as the audit conducted but may be issued up to 2 business days after the audit date.

Re-audit requests are subject to auditor review and availability.

The audit request day is day 0 and requests received after normal business hours (4.30pm) will be considered to have been received the following day.

- 2. Review Application by Audit Scheduler**

Audit and re-audit request information and documentation is reviewed by the Scheduler to ensure all stakeholders are nominated and that all relevant documentation is complete to the requirements outlined in “Field Audit & Quality - Submitting a Salesforce Opti The worksite Inspection Report Work Instructions JEQA4UJ443MT-150-348) and as detailed in The worksite Inspection Report Work Instructions JEQA4UJ443MT-150-348)

- 3. Accept or Decline Audit Application by Salesforce Scheduler**

Applications that are Incomplete, non-compliant to the audit process or have audit documents missing may be declined. This usually occurs within 2 business days following receipt. Applicants will receive notification stating the reasons.

Applications may also be declined after the audit has been scheduled if a review by the auditor identifies major onsite issues or Health and safety issues.

In this case the audit date will be cancelled. All declined audits will be removed from the audit queue subject to provision of the requested information, and the application will then commence from step 1.

4. Schedule audit by Salesforce Scheduler

The scheduler determines when the audit can be completed based on auditor resource availability and schedules the audit in Salesforce. The audit is allocated to the auditor and Salesforce generates a meeting request (when required) to the Electrical Project Manager that specifies the audit day, date and commencement time. If this date or time is not suitable, respond to fieldauditandquality@powercor.com.au as soon as possible - do not reply to the Salesforce meeting request email.

In most cases satisfactory requests will be scheduled within 2 business days following receipt and the audit commencement date to be will be within 5-8 business days.

Re-audits are subject to auditor review of rectification evidence and are subject to auditor availability. In most cases re-audit scheduling occurs 2-3 business days after receipt and the audit commencement is usually within 5-8 business days.

For URD or underground projects, where the Worksite Inspection Report has not been transparently completed or when the VEDN audit company has completed less than 3 projects in the rating period a normal audit regime applies.

For URD or underground projects, where the Worksite Inspection Report has been transparently completed in a manner compliant with the process, the applicable project audit inspection regime is determined by the previous audit performance rating of the VEDN audit company. The performance rating of the VEDN audit company is calculated by averaging the audit scores from the previous 6 months issued on a quarterly basis.

When the audit is allocated to the CP/PAL auditor the scheduler specifies the audit regime applicable to the project based on the table below.

Rating	Audit Score	Audit Allocation	Audit Regime
A - Proficient	>92	30% 70%	Normal Reduced
B - Acceptable	86-91	60% 40%	Normal Reduced
C - Deficient	80-85	90% 10%	Normal Enhanced
D - Substandard	<80	100%	Enhanced

5. Advise Stakeholders by Electrical Project Manager

The audit Scheduler sends the Electrical Project Manager advice from Salesforce on which audit regime is required for the project.

The provision site access is the responsibility of the Electrical Project Manager.

When required the Electrical Project Manager shall ensure that worksite traffic management, excavation machinery and a lifting crane is onsite at the nominated time.

When required the civil contractor must provide excavation equipment (backhoe or Non-Destructive Digging - NDD) on site for the audit commencement time, including a VEDN endorsed operator for mechanical plant. Note for an enhanced audit regime two excavators and or a crane may be required to complete the audit process within the allocated time.

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- 6. Review Final Audit Application by CP/PAL Auditor**
- The auditor conducts a review of the Worksite Inspection Report, variations and the photographic evidence together with the construction / as-built drawings.
- The auditor will, when required, determine points of interest for site checks and prospective excavation locations. Excavation locations are advised on the day of the audit and the number of excavations for an initial project audit is based on project complexity parameters.
- Notes:
- Additional excavations may be required for an enhanced audit regime.
- When non-compliances are identified onsite additional excavation locations may be nominated by the auditor to determine the extent of below ground issues.
- Non-compliance with the documented procedure for the Worksite Inspection Report process may also result in an additional excavation requirement as documented in the Worksite Inspection Report Work Instruction.
- Where necessary the auditor will provide prior notification of any special audit requirements such as the use of a crane to support of lighting poles for excavation purposes.
- For re-audits the auditor reviews submitted rectification evidence and amended as-built drawings if required. Excavation points are not determined by project parameters. The auditor determines the extent of the re-audit required based on the extent of the project assets already inspected, the non-compliances detected and the reason for the re-audit. This may range from verifying a few specific locations not able to be excavated and inspected during the initial audit, to effectively a full re-audit of the whole project.
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- 7. Accept or Decline Audit Application by CP/PAL Auditor and Salesforce Scheduler**
- Some issues identified by the auditor during preliminary review may not be declined and may be covered as a project non-compliance or addressed on the audit day. However significant safety hazards or Network Operational breaches may result in the audit being request being declined. The auditor notifies the Salesforce scheduler who will liaise with the and cancel the audit.
- When the audit is to be rejected by the auditor the Team Leader or Quality Assurance Officer must be notified by the auditor.
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- 8. Commence Audit by CP/PAL Auditor**
- The auditor will comply with any site-specific requirements and complete a Job Safety & Environmental Assessment (JSEA) to confirm it is safe to proceed.
- When required the auditor will advise the site manager or civil contractor the excavation locations and inspection points required. Further locations may also be requested during the audit based on audit findings or assets noted on site.
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- 9. Excavate Inspection Points by VEDN accredited Civil Contractor** When applicable the civil contractor shall arrange excavation(s) at the nominated inspection point(s).
Excavation holes must be prepared to allow safe entry by the auditor and sufficiently sized to allow adequate inspection of the required assets (particularly NDD prepared holes).
Holes deeper than 1m need to have steps cut or a slope to aid entry, otherwise a ladder must be used. Auditors must not enter an excavated hole deeper than 1.5m without being accompanied and being satisfied that the hole is adequately benched, battered or shored to prevent collapse.
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- 10. Audit Completion by CP/PAL Auditor** The auditor proceeds to conduct the audit inspections and identify non-compliances (if any). Non-compliances are assigned to the stakeholder deemed responsible for the outcome, EG. The VEDN Auditor, the Electrical Project Manager etc. This information feeds into the Contractor Rating Program and is also the basis for calculating the audit inspection regime as described in Step 4.
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- 11. Audit Report Issue by CP/PAL Auditor** When there are no non-compliances detected during an initial audit or all non-compliances (for both initial and re-audits where applicable) have been resolved to the auditor's satisfaction; the auditor will issue an Approved Audit Report via Salesforce to the Electrical Project Manager

In many cases the audit report will be issued on the same day as the audit is carried out, however in line with Powercor's overall audit response timeframe, may be issued up to 2 business days following the audit. This depends on auditor commitments, particularly where non-compliance rectification evidence needs to be reviewed.
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- 12. Unapproved Audit Report Issue by CP/PAL Auditor** The auditor records audit non-compliances directly into Salesforce including assignment to the responsible stakeholder (refer step 10) and a description of the issue.
All documented non-compliances include a brief explanation in the audit report. When required further detail may be obtained from the auditor.
Note that all audit non-compliance points are cumulative for the initial and any subsequent re-audit(s) for the purpose of contractor performance rating.
The auditor issues the unapproved audit report to the nominated Electrical Project Manager via Salesforce. Rectification works and or plan updates will be required.
An unapproved audit report without re-audit required means that the auditor requires evidence that only the nominated issues have been rectified or addressed.
An unapproved audit report with a re-audit requirement means that the auditor needs to attend the site to conduct further inspections and or excavations
When major or numerous non-compliances are identified during a final audit a re-audit may be required. Other issues such as onsite health and safety concerns or insufficient machinery onsite for the audit may also make the project subject to re-audit.
A re-audit may also apply to the entire project when the rectification time exceeds

21 days

URD project re-audits are not subject to the inspection regime and complexity parameters specified in steps 4 & 6.

13. Approved Audit Report Receipt by the Electrical Project Manager

Following receipt of an Approved Final Audit report:

For Option 2 projects the Electrical Project Manager should submit the relevant project documentation to the Powercor Responsible Officer. This process is completely separate to the audit process and should be discussed with the Powercor Responsible Officer (Project Delivery Lead or Specialist) for the project.

For Option 1 projects the process is essentially the same but managed by the PDS/L themselves.

14. Unapproved Audit Report Receipt by Electrical Project Manager

Following receipt of an Unapproved Final Audit report:

The Electrical Project Manager must take steps to ensure that non-compliances identified during the audit are rectified. Following rectification works photographic evidence of rectifications may be accepted by the auditor.

The provision of inconclusive photographic evidence, incomplete variation documentation or incomplete plan updates will result in delays to the resolution of the audit non-conformances.

The rectification works / document updates and the conclusive photographic evidence must be supplied to the CP/PAL auditor within 21 days or a major non-compliance may be issued to the Electrical Project Manager.

A written extension of the 21-day time period may be granted by the Powercor Responsible Officer.

A re-audit of the entire project may be required were the rectification evidence is not supplied within 21 days. Ongoing project delays will result in further points deduction to the Electrical Project Manager.

In some cases the auditor may need to re-visit the project.

When a re-audit is required refer to step 14 below.

15. Unapproved Audit Report Re-Audit Required Actions by Electrical Project Manager

Following the VEDN audit process the expectation is the project presented for final audit is compliant with relevant technical standards and meets all network safety requirements. When the project is found to be non-compliant with these requirements and the auditor is unable to determine the extent of the non-compliances at the time of audit a re-audit will apply.

The Electrical Project Manager must take steps to ensure that non-compliances identified during the audit are rectified. Following rectification works photographic evidence of rectifications must be supplied with a new audit request for review by the auditor. The provision of inconclusive photographic evidence, incomplete variation documentation or incomplete plan updates will result in the re-audit request being declined.

The rectification works / document updates and the conclusive photographic evidence must be supplied to the CP/PAL auditor within 21 days or a major non-compliance may be issued to the Electrical Project Manager.

A written extension of the 21-day time period may be granted by the Powercor Responsible Officer.

Refer to step 1 for creation and submission of re-audit requests. There is a fee for re-audits and cost acceptance is required with application.

16. Manage Rectification by the Electrical Project Manager

The Electrical Project Manager must manage resolution of all identified non-compliances by relevant stakeholders and compile evidence within 21 days. This may include:

- Rectification of civil and electrical construction non-compliances.
- Amendment and update of drawings.
- Obtaining Variation Approvals from the Powercor Responsible Officer (/L) or Council / VicRoads as nominated.
- Obtaining permission from other service utilities or authorities.
- Obtaining a Dispensation Approval from the CP/PAL Network Safety group for non-compliance to a CP/PAL technical standard or policy. (Contact the project Responsible Officer for more information regarding this process. Dispensations may take considerable time duration and should be applied for during project design or before project completion.)

The auditor may specify if a site visit is required to verify compliance or if a photo will suffice for construction non-compliances. Rectification of some non-compliances may have been inspected on site during the audit, in which case these will be marked as resolved on the audit report. Otherwise if non-compliances are marked as unresolved, it is assumed that photo evidence is to be obtained for rectifications.

If photo evidence is not obtained and provided with the re-audit request for construction items, then rectification must be inspected on site during the re-audit and this may involve re-excavation of the location and lost time.

Rectification evidence must be supplied with re-audit requests and the "Option 2 Non-compliance Rectification Summary" template JEQA4UJ443MT-197-45 should be used for this purpose.

For re-audits additional excavations at locations similar to those where non-compliances were identified may be undertaken.

Rectification works must include all sites with similar infrastructure to those sites identified as non-compliant during the final audit process. It is the responsibility of the Electrical Project Manager to ensure this occurs. The contractor rating for the Electrical Project Manger may be effected when this rectification does not occur

Under the process detailed in the Worksite Inspection Report Work instruction VEDN re-audit of the project may be required to ensure rectification of all issues identified during the CP/PAL final audit have been addressed.

17. Forward Evidence

The Electrical Project Manager is responsible for forwarding all rectification evidence and updated documentation to the CP/PAL auditor for review and in the case of a

by the Electrical Project Manager re-audit making application for the next audit. Refer to step one.
When required by the Worksite Inspection Report process the Electrical Project Manager shall ensure that the VEDN audit has been completed before submitting the re-audit request and all required evidence is supplied.
If the auditor is away or unavailable (an out-of-office email response is received), the information should be sent to the Field Audit and Quality email inbox:
fieldauditandquality@powercor.com.au

18. Issue Approved Report by CP/PAL Auditor When satisfactory rectification information is provided the CP/PAL auditor will issue the approved audit report to the Electrical Project Manager via Salesforce.
Refer to step 13 above for the next step
