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**Technical Services and Water Licensing Audit Panel**

**Application Form – Part A (mandatory)**

**April 2015**

Background

The Independent Pricing and Regulatory Tribunal (IPART) seeks applications from suitably qualified organisations (including sole traders) for appointment to the Technical Services and Water Licensing Audit Panel (Panel). Members appointed to the Panel may be called upon to assist us in our licensing and regulatory functions, and / or licensees in their licensing obligations, such as those under the *Water Industry Competition Act 2006* (NSW) (WIC Act) and other legislation.

We have established the following eight categories relating to licensing and regulation of the water industry:

1. Licence and regulatory compliance
2. Infrastructure performance
3. Drinking water quality
4. Recycled water quality
5. Sewage management
6. Sustainability assessment
7. Environmental management
8. Retail supply.

Categories

A general summary of the eight categories is provided below. A more detailed description can be found in the WIC Act and Public Water Utility Audit Guidelines available on our website (www.ipart.nsw.gov.au).

1. Licence and regulatory compliance

This category relates specifically to auditing and requires an assessment of operational compliance with approved plans, processes, procedures licence conditions and relevant regulations.

We may also use auditors from this category to help us exercise our functions under WIC Act, such as the periodic review of licences.

2. Infrastructure performance

This category requires an understanding of issues such as the adequacy of infrastructure to achieve safe, reliable and continuous performance. It could also include an understanding of the adequacy of emergency procedures, contingency plans, the provision of alternative services and regulatory compliance.

In the case of audits of Public Utility Operating Licences, this category also includes issues such as system performance standards, requirements for leakage and response times, and service quality indicators.

3. Drinking water quality

This category requires an understanding of the application of the elements of the Australian Drinking Water Guidelines. It also includes an understanding and assessment of the suitability and comprehensiveness of the risk assessments undertaken, the analysis of likely hazards and the measures adopted to control risk events, and that the drinking water quality supplied is fit for purpose.

In addition, an understanding of catchment management practices, relevant to water supply authorities or network operators of drinking water supply schemes, will be assessed against the requirements of the Australian Drinking Water Guidelines.

4. Recycled water quality

This category requires an understanding of the application of the elements of the Australian Guidelines for Water Recycling. It also includes an understanding and assessment of the suitability and comprehensiveness of the risk assessments undertaken, the analysis of likely hazards and the measures adopted to control risk events, and that the recycled water quality supplied is fit for purpose.

This category also includes an understanding of the process flow diagram, the critical control points to control pathogens and/or chemical contaminants, the claimed log reduction values (LRV) and any supporting documentation, and the validation plan to prove the log reduction values. These items would be reviewed as part of a technology assessment.

5. Sewage management

This category requires an understanding of issues such as the adequacy of the sewerage infrastructure to achieve safe, reliable and continuous performance. It will also include an understanding of the adequacy of emergency procedures, contingency plans, the provision of alternative services and compliance with relevant environmental regulation.

6. Sustainability assessment

This category requires an understanding of the ability of the proposed sewerage infrastructure to provide sewerage services which are sustainable and do not present a risk to the environment (where there is disposal to land). It also includes an understanding of water balance calculations for schemes, the type of sewage treatment and capacity of the technology to remove contamination, the capacity of storage and buffering infrastructure of schemes, and/or a land/soil capability assessment.

7. Environmental management

This category requires an understanding of the compliance of proposed or existing environmental management practices/systems to the standards. It will include an assessment of proposed or existing environmental objectives and targets, and measures to meet those targets.

8. Retail supply

This category requires an understanding of the adequacy of all proposed customer interactions. This includes such matters as complaint handling procedures, dispute resolution processes, debt management, and marketing and transfer codes.

The Application

The Application form is divided into five main parts

Part A – Organisation’s experience and resourcing information and response to selection criteria and statutory declaration (mandatory)

Part B – Individual’s industry experience information and response to selection criteria (mandatory)

Part C – Individual’s Lead Auditor experience information and response to selection criteria (optional)

Part D – Individual’s Auditor experience information and response to selection criteria (optional)

Part E – Individual’s statutory declaration (mandatory).

The application form provides space to insert commentary directly into the form. If requested, information should also be attached to the form.

The **complete** application form, and any supporting information, should be mailed or delivered to

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| Director, Compliance  Independent Pricing & Regulatory Tribunal of NSW | |
| **OFFICE DELIVERY**  Level 15  2-24 Rawson Place  SYDNEY NSW 2000 | **MAIL**  PO Box K35  Haymarket Post Shop  SYDNEY NSW 1240 |

An electronic copy of the application form should also be mailed to compliance@ipart.nsw.gov.au.

Typically, organisations apply to become Panel Members and nominate individuals into specific “classifications”, such as *Area Specialists*, *Lead* *Auditors* or *Auditors,* within the eight categories. Sole traders are also encouraged to apply, though any work undertaken by sole traders must be peer reviewed by another Panel Member, to comply with our quality assurance requirements.

These three classifications are explained below.

1. **Area Specialists** are senior technical professionals with specific skills, competencies and experience in their industry fields. An Area Specialist may not have the necessary skills and experience to conduct audits.

We may engage Area Specialists to provide specialist water industry advice, or assist Lead Auditors and Auditors, if required and if we approve.

All applications for Lead Auditors and Auditors will need to fulfil the same industry experience requirements in the area(s) they wish to audit, as Area Specialists (as per this part of the application form).

There are no industry experience requirements for licence and regulatory compliance, only audit experience requirements.

2. **Lead Auditors** are recognised as competent to undertake audits independently (though they are required to be part of a project team to comply with quality assurance and peer review requirements), or to lead an audit team. Only Lead Auditors can direct and supervise audit teams, and sign written reports submitted by a Panel Member.

3. **Auditors** are recognised as competent to undertake audits as a member of an audit team but do not have sufficient experience to lead an audit.

An approved Panel Member can apply at any time to change the category(s) and classification(s) to which its personnel have been included, if there have been any changes to personnel’s qualifications or experience. Changes to personnel on the Panel will be subject to our approval.

Selection Process

The review and selection of organisations to the Panel will be undertaken by us. For the drinking water quality and recycled water quality categories only, the NSW Ministry of Health (NSW Health) will also be involved in selecting Panel Members.

Applications for the Panel will be evaluated based upon the Committee’s assessment of

* the organisation’s knowledge of legislative and regulatory frameworks relating to the categories for which appointment is sought
* the organisation’s technical and resourcing capacity to undertake the activity and/or provide the technical advice required for the category and classification for which appointment is sought
* the individual’s technical and/or audit experience required for the category and classification for which appointment is sought.

The above selection criteria are outlined in detail in the Application Form.

Probity Issues

No gifts or benefits are to be offered to any personnel at IPART or NSW Health involved in selecting Panel Members, during the selection process.

All Applicants must comply with the NSW Government Code of Practice for Procurement which can be downloaded from http://www.nswprocurement.com.au/government-procurement-frameworks/files/code\_of\_prac-curr.aspx.

The Panel Agreement

An Applicant is required to execute the Technical Services and Water Licensing Audit Panel Agreement (Panel Agreement) *prior* to its appointment to the Panel.

The Panel Agreement is the contract between us and the Panel Member, and describes a range of obligations that the Panel Member has to us, as well as a range of powers that we have the discretion to exercise.

Appointment to the Panel does not guarantee that a Panel Member will be engaged to undertake any services.

Initial appointment to the Panel will be for a period of 3 years, with the option for us to extend the appointment for a further 3-year period.

We, or Licensees, may draw from the Panel to provide the following services. Hourly Panel rates for each proposed team member for services provided to IPART will be agreed with us as part of the Panel Agreement. Rates for services provided to Licensees will be negotiated directly with the Licensee.

Services for IPART

We may draw from the Panel to seek the following services

* technical assistance in undertaking WIC Act licence application reviews
* technical support and/ or audit services for licence reviews
* compliance audits for WIC Act Licensees and public water utilities such as Sydney Water Corporation, Hunter Water Corporation, Sydney Catchment Authority, and State Water Corporation
* any other assistance that we may require to carry out our functions.

Services for Licensees

A Licensee may draw from the Panel to seek the following audit services (as applicable to its licensed activity)

* audit the overall adequacy of the Licensee’s plans (such as infrastructure operating, water quality[[1]](#footnote-1), sewage management or retail supply management plans) to ensure safe construction and operation of infrastructure, and supply of services to customers, and compliance with legislative or regulatory requirements
* audit the condition and operation of the Licensee’s infrastructure prior to commercial operation
* audit the Licensee’s operational compliance with legislative and regulatory requirements, as well as its licence conditions.

Prior to providing audit services to a Licensee in relation to audits required by IPART/ the Minister, a Panel Member must

* submit to us its scope of work and allow 21 days for us to review the scope of works and audit team credentials
* address any conflict of interest issues
* enter into a contract with the Licensee, which amongst other things confirms the Licensee’s liability to the Panel Member to pay the Panel Member’s costs and expenses, including the costs associated with engaging with us and for the auditor to provide any briefs on the audit findings
* submit to us an executed Deed Poll, which amongst other things confirms the Panel Member’s obligations to us, under the Panel Agreement, to provide audit services with due care, skill, and diligence, for our benefit.

Whilst providing audit services to a Licensee, a Panel Member will be required to advise and invite an IPART staff member to attend any inception or site meetings with the Licensee, to enable us to monitor progress of the audit.

A Panel Member may also be required to

* amend the scope of work for the audit, as we may direct
* provide us with first draft audit reports, if requested, and provide any comments or clarifications
* attend any requested meetings with us, with or without the Licensee.

Direct engagement of Panel Members by Licensees for any purpose other than for the services listed above is outside the operation of the Panel and must be disclosed to us when assessing any potential conflicts of interest.

Audit Guidelines

Our WIC Act and Public Water Utility Audit Guidelines are presently being updated. The Guidelines set out our audit requirements in detail, including

* details of the different categories
* generic audit scopes
* generic reporting template
* our expectations regarding the conduct of audits.

Further information

All enquiries concerning the selection process, the Panel or probity issues, should be directed to the Director or a Technical Analyst of the Water Licensing and Compliance team, contactable at (02) 9290 8477 or compliance@ipart.nsw.gov.au.

Further information regarding IPART and the Panel may be accessed from our website at www.ipart.nsw.gov.au.

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**Technical Services and Water Licensing Audit Panel**

**Application Form – Part A (mandatory)**

**April 2015**

The Panel application form is for the use of individuals and organisations wishing to be appointed to the IPART Technical Services Panel and Water Licensing Audit Panel, for work to be undertaken in relation to IPART's licensing and audit programs.

It is mandatory for all applicants (organisations) to the Panel to complete this part (Part A) of the application form.

Part A requires information relevant to the applicant (organisation), including demonstrating general organisational capacity and resourcing to perform the activities. Part A also requires the organisation to nominate individuals to Panel categories and classifications.

The application form provides space to insert commentary directly into the form. If requested, information should also be attached to the form.

Please mail or deliver the complete application form, and any supporting information, to

*Program Manager, Water Licensing and Compliance*

Independent Pricing & Regulatory Tribunal of NSW

Level 15 PO Box K35  
 2-24 Rawson Place Haymarket Post Shop   
 SYDNEY NSW 2000 SYDNEY NSW 1240

Please also send an electronic copy of the application form to compliance@ipart.nsw.gov.au.

Please ensure that *all* relevant parts of the application form are completed and attached.

All parts of the application form are available for download from our website (www.ipart.nsw.gov.au)

Part B must be completed by all individuals nominated for inclusion on the Panel. Part B is mandatory.

Part C must only be completed by individuals applying to be included on the Panel as a *Lead* *Auditor* for a category(s). Part C is optional.

Part D of the application form must only be completed by individuals applying to be included on the Panel as an *Auditor* for a category(s). Part D is optional.

Lead Auditors are automatically included on the Panel as Auditors. Individuals applying as a Lead Auditor for a category need not also apply as an Auditor for that category (ie, they need not complete Part D for that category).

Part E must be completed by all individuals nominated for inclusion on the Panel. Part E is mandatory.

Please note that if an individual is successfully appointed to the Panel and subsequently leaves their parent organisation, IPART should be alerted. Further, if the individual wishes to continue to remain on the Panel, they must re-apply for the Panel under their new parent organisation.

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| PART A ORGANISATION INFORMATION | | | | | | | |
| A1(i) Applicant Organisation details | | | | | | | |
|  | Applicant organisation name | |  |  | | | |
|  |  | | | | | |  |
|  | Primary contact person (name) | |  | | Contact number | |  |
|  |  | |  | |  | |  |
|  | Email address | |  | | Postal address | |  |
|  |  | |  | |  | |  |
|  |  | |  | |  | |  |
|  | Secondary contact person (name) | |  | | Contact number | |  |
|  |  | |  | |  | |  |
|  | Email address | |  | | Postal address | |  |
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| A1(ii) Type Of Organisation | | | | | | | |
|  | Sole Trader  Company  Partnership | | | | | |  |
|  | Other (please describe) |  | | | | |  |
|  | Australian Company Number (ACN) | | | |  |  |  |
|  | Australian Business Number (ABN) | | | |  |  |  |
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| A1(iii) Current Insurance details | | | | |
|  | Professional indemnity insurance details (**attach** certificate of currency) | | |  |
|  | Insurance Provider(s) |  | |  |
|  | Policy number |  | |  |
|  | Amount |  | |  |
|  |  |  |  |  |
|  | Public liability insurance details (**attach** certificate of currency) | | |  |
|  | Insurance Provider(s) |  | |  |
|  | Policy number |  | |  |
|  | Amount |  | |  |
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|  | Workers compensation insurance details (attach certificate of currency) | | |  |
|  | Insurance Provider(s) |  | |  |
|  | Policy number |  | |  |
|  | Amount |  | |  |
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| A2(i) Experience and resourcing capacity | | | | |
|  | **Provide** a brief summary for each of the 7 items listed below, on your resourcing capacity and audit and industry experience to address those items. Describe your ability to provide specialist advice and/or undertake audit activities.   * typical engagement staffing mix   Click here to enter text.   * internal quality management processes and/ or accreditation/ certification [if available, **attach** a copy of the relevant certification (eg, accreditation to ISO 9000)]   Click here to enter text.   * audit standards and/or frameworks that you have previously applied in past audits   Click here to enter text.   * common organisational processes used in the conduct of audits   Click here to enter text.   * engagement management structure   Click here to enter text.   * audit report sign-off protocols   Click here to enter text.   * management controls, processes and practices that you have in place for identifying and managing potential conflict of interest issues   Click here to enter text. | | |  |
| A2(ii) Ethical requirements | | | | |
|  | **Provide** a brief summary for each of the following fundamental ethical principles, to explain your internal policies and procedures to ensure that these principles are followed during engagements.   * integrity   Click here to enter text.   * objectivity   Click here to enter text.   * professional competence and due care   Click here to enter text.   * confidentiality   Click here to enter text.   * professional behaviour   Click here to enter text. | | |  |
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| A3 Summary of nominated personnel by category and by classification | | | | |
|  | Area Specialists are senior technical professionals with specific skills, competencies and experience in their industry fields. Except for Licence and Regulatory Compliance, all Lead Auditors and Auditors will need to fulfil the requirements for an Area Specialists in the area they wish to audit. Area Specialists may not have the necessary skills and experience to conduct audits.  We may engage Area Specialists to provide specialist water industry advice, or assist Lead Auditors and Auditors, if required and if we approve.  In the following table, nominate personnel for appointment to the Panel as Area Specialists in the category(s) appropriate to their skills, knowledge and experience.  There is no limit to the number of personnel that you may nominate, or categories that personnel may apply for.  (If you wish to nominate more than 3 personnel in any category, you may include more rows in the following table.)  Each nominated Area Specialist also needs to complete Part B of this form. | | |  |
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| **A3(i) Area Specialist** | | | | |
| **Category** | | **Name of nominated individual(s)** | | |
| Licence and regulatory compliance | | Not applicable | | |
| Infrastructure performance | |  | | |
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| Drinking water quality | |  | | |
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| Recycled water quality | |  | | |
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| **Category** | **Name of nominated individual(s)** |
| Sewage management |  |
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| Sustainability assessment |  |
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| Environmental management |  |
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| Retail supply |  |
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|  | Lead Auditors may undertake audits independently or may lead an audit team. Only Lead Auditors can direct and supervise audit teams, and sign written reports submitted by a Panel Member.  Auditors may undertake audits as member of an audit team but do not have the necessary skills or experience to lead audits.  In the following table, nominate personnel for appointment to the Panel as Lead Auditor(s) or Auditor(s) in the category(s) appropriate to their skills, knowledge and experience (or certification).  There is no limit to the number of personnel that you may nominate, or categories that personnel may apply for.  (If you wish to nominate more than 3 personnel in any category, you may include more rows in the following table.)  **Each nominated Lead Auditor should also complete Part C of this form. Each nominated Auditor should also complete Part D of this form.**  Individuals nominated as a Lead Auditor for a category will automatically be included as an Auditor for that category. Therefore they do not need complete Part D for that category).  Both Parts C and D are available from our website. | | | |  |
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| **A3(ii) Auditor** | | | | | |
| **Name of nominated individual(s)** | | | | | |
| **Category** | | **Lead Auditor** | | **Auditor** | |
| Licence and regulatory compliance | |  | |  | |
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| Infrastructure performance | |  | |  | |
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| **Category** | **Lead Auditor** | **Auditor** |
| **Name of nominated individual(s)** | | |
| Drinking water quality |  |  |
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| Recycled water quality |  |  |
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|  |  |
| Sewage management |  |  |
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| Sustainability assessment |  |  |
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| Environmental management |  |  |
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| Retail supply |  |  |
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| A4 Statutory declaration | | | | | |
|  | I,      ……………………………….*[print full name]* declare that I am authorised to provide this declaration. I have inspected relevant business records and I do solemnly and sincerely declare that the information contained in this document is a true reflection of the capability and experience of the applicant organisation.  I acknowledge that IPART may undertake searches or request further information necessary to verify that the application is made on behalf of a bona fide organisation, and that the information contained in all parts of the application is true and accurate.  I make this solemn declaration conscientiously believing the same to be true, and by virtue of the provisions of the *Oaths Act 1900 (NSW)*. | | | |  |
|  | Made and subscribed at | |  | In New South Wales |  |
|  | On Click here to enter a date. | | | |  |
|  | Signed by Company Director/Company Secretary/Authorised Representative | | | |  |
|  |  | |  | *[Signature of Declarant]* |  |
|  |  | |  | *[Print Name of Declarant]* |  |
|  |  | |  | *[Position / Title of Declarant]* |  |
|  | In the presence of an authorised witness, who states: | | | |  |
|  | I, |  |  | *[Print Full Name of Witness]* |  |
|  | a |  |  | *[Qualification of Witness]* |  |
|  | certify the following matters concerning the making of this statutory declaration by the person who made it: *[\*please cross out any text that does not apply]*  1. I saw the face of the person *OR* \*I did not see the face of the person because the person was wearing a face covering, but I am satisfied that the person had a special justification for not removing the covering, and  2. I have known the person for at least 12 months *OR* \*I have confirmed the person’s identity using an identification document and the document I relied on was | | | |  |
|  |  | |  | *[describe identification document relied on]* |  |
|  |  | |  | *[Signature of authorised witness]* |  |
|  |  | |  |  |

1. Water Quality Plans may contain drinking water and/or recycled water quality aspects, depending on the nature of the scheme. [↑](#footnote-ref-1)