**NOTE:**

This form is to be completed by organisations applying for Authorised Engineering Organisation (AEO) assessment.

It is completed after the initial meeting with the TfNSW Authorisation Facilitator as part of the application for the formal AEO assessment process.

See User instruction at the end of this form.

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1 – Engineering management process and planning

**ENM1** – An AEO shall have engineering management processes and methodologies appropriate to its engineering services and suitably aligned with ISO 9001 *Quality management systems – Requirements*, ISO 55000 *Asset management - Overview, principles and terminology*, AS ISO 55001 *Asset management – Management systems – Requirements* and AS/NZS ISO 9001 *Quality management systems – Requirements*.

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**ENM2** – Design AEOs shall have capability to provide design support during procurement, manufacturing, construction, integration, test and commissioning stages.

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2 – Requirements management

**ENM3** – An AEO shall have requirements management arrangements that set out appropriate process, responsibilities, structure, tools and deliverables for management of stakeholder requirements applicable to the scope of engineering services provided across the system life cycle.

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3 – Service or solution engineering

3.1 – Interface management

**ENM4** – An AEO shall have interface management arrangements that set out the processes, responsibilities, structures, tools and deliverables.

Integration management

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3.2 – Integration management

**ENM5** – An AEO shall demonstrate that it has suitable management arrangements to plan and carry out the integration of all the declared products or systems as appropriate to the scope of authorisation.

System architecture management

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3.3 – System architecture management

**ENM6** – A design AEO shall demonstrate that it has arrangements to manage the synthesis and development of system level requirements into a credible system architecture.

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3.4 - Sustainability in design

**ENM7** – An AEO shall incorporate sustainability in design principles as relevant to the scope of the authorised engineering services.

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3.5 – RAM management

**ENM8** – An AEO shall demonstrate that it has RAM management arrangements in place, relevant to the engineering services or products provided.

Human factors integration

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3.6 – Human factors integration

**ENM9** – An AEO shall manage all HF relevant to the scope of the authorised engineering services

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3.7 - Electromagnetic compatibility (EMC)

**ENM10** – An AEO engaged by TfNSW to undertake engineering activities involving the specification, design, integration, testing and maintenance of electrical or electronic systems involving EMI emitters (threats) or receivers (victims) shall have arrangements for managing EMC.

An AEO engaged by TfNSW to undertake engineering activities involving the specification, design, build, integration or modification of electrically conductive or magnetically permeative structures shall ensure that arrangements are in place for managing electromagnetic interference and electromagnetic compatibility.

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4 – Assurance, verification and validation

**ENM11** – An AEO shall have arrangements for verification and validation management of the engineering services or products provided.

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**ENM12** – An AEO shall demonstrate engineering assurance based on progressive stage gateway reviews.

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**ENM13** – AEOs shall apply a risk-based approach to engineering assurance.

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4.1 – Judgment of significance (JOS)

**ENM14** – An AEO shall establish arrangements for assessing the significance of proposed engineering changes arising from the delivery of its engineering services.

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4.2 – System safety assurance

**ENM15** – The AEO shall have system safety assurance arrangements in place relevant to the engineering services or products provided. These arrangements must include suitable planning activities and deliverables. They must also demonstrate suitable and sufficient integration into the engineering services.

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**ENM16** – The AEO's safety assurance arrangements must provide progressive assurance through the project or system life cycle.

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**ENM17** – The AEO shall have arrangements for the identification and management of safety risks associated with the changes to be introduced. The process should follow a life cycle approach such that the granularity of risks and the level of analysis aligns with the progression through the engineering life cycle. It shall also support risk-based decision-making with records to show traceability of all decisions made.

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**ENM18** – The AEO shall have arrangements for delivering safety assurance arguments and supporting evidence (or input to such documentation) that describes how it has ensured safety SFAIRP and managed safety risks to tolerable and SFAIRP. The content of such documents should be aligned with the requirements of T MU MD 20001 ST *System Safety Standard for New or Altered Assets* so that they meet the requirements of the TNAC process.

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**ENM19** – AEO safety engineering and assurance arrangements shall be subject to ISA, where it is responsible for the introduction of new or novel systems that affect the operational safety of the network or where the general scope and complexity of the project requires it. There shall be arrangements in place to support the appointment of an ISA organisation and to engage with an ISA organisation at all stages of the engineering activities being undertaken when required and in accordance with the relevant standards and best practice for the scope of works.

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| **OB**  **OFI**  **AOC**  **SAOC**  **Com**  <TFNSW to delete this text and replace with required information> |

5 – Configuration management

**CFM1** – An AEO shall have a documented system that describes the management of the configuration of all proposed or existing configuration items under its control as relevant to the scope of the authorised engineering service.

Applicant use

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| **Comment:** <applicant to delete this text and replace with required information> |
| **Supporting evidence list** **including document number, title and relevant section or page number:**  <applicant to delete this text and replace with required information> |
| **Documented process self-rating:** 0  1  2  3  4  5  *(applicant to click in box)*  **Deployed process self-rating:**  0  1  2  3  4  5  *(applicant to click in box)* |

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| **1st round initial check**  **N/A  acceptable  resubmit**  **Comment:** <TFNSW to delete this text and replace with required information> |
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| **Assessment**  **Documented process rating:** 0  1  2  3  4  5  *(TFNSW to click in box)*  **Deployed process rating:** 0  1  2  3  4  5  *(TFNSW to click in box)*  **General notes**: <TFNSW to delete this text and replace with required information> |
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| **OB**  **OFI**  **AOC**  **SAOC**  **Com**  <TFNSW to delete this text and replace with required information> |

6 – Competence management

**CPM1** – An AEO shall have comprehensive arrangements and systems for managing the competence of its staff, contractors, sub-contractors and other third party suppliers, relevant to the engineering services provided.

Applicant use

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| **Supporting evidence list** **including document number, title and relevant section or page number:**  <applicant to delete this text and replace with required information> |
| **Documented process self-rating:** 0  1  2  3  4  5  *(applicant to click in box)*  **Deployed process self-rating:**  0  1  2  3  4  5  *(applicant to click in box)* |

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| **Assessment**  **Documented process rating:** 0  1  2  3  4  5  *(TFNSW to click in box)*  **Deployed process rating:** 0  1  2  3  4  5  *(TFNSW to click in box)*  **General notes**: <TFNSW to delete this text and replace with required information> |
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**CPM2** – An AEO shall consider relevant external qualification standards to benchmark the skills to be assessed and maintain evidence that relevant industry competence requirements, including TfNSW Standards, have been analysed and interpreted for the appropriate engineering services offered.

Applicant use

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| **Comment:** <applicant to delete this text and replace with required information> |
| **Supporting evidence list** **including document number, title and relevant section or page number:**  <applicant to delete this text and replace with required information> |
| **Documented process self-rating:** 0  1  2  3  4  5  *(applicant to click in box)*  **Deployed process self-rating:**  0  1  2  3  4  5  *(applicant to click in box)* |

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**CPM3** – An AEO shall have arrangements in place to train, develop and assess the competence of staff using established methods and competence standards, including establishing training and development needs for staff delivering engineering services.

Applicant use

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| **Assessment**  **Documented process rating:** 0  1  2  3  4  5  *(TFNSW to click in box)*  **Deployed process rating:** 0  1  2  3  4  5  *(TFNSW to click in box)*  **General notes**: <TFNSW to delete this text and replace with required information> |
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**CPM4** – An AEO shall provide for the planning, implementation, recording, assessment and recognition of relevant continuing professional development activities to enhance the knowledge and skills of staff and the organisation as a whole.

Applicant use

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| **Supporting evidence list** **including document number, title and relevant section or page number:**  <applicant to delete this text and replace with required information> |
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| **Assessment**  **Documented process rating:** 0  1  2  3  4  5  *(TFNSW to click in box)*  **Deployed process rating:** 0  1  2  3  4  5  *(TFNSW to click in box)*  **General notes**: <TFNSW to delete this text and replace with required information> |
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**CPM5** – An AEO shall maintain competence management records that contain appropriate and up-to-date information about all competence aspects of a candidate. All records shall be maintained for audit purposes and must be stored in a secure location for the duration of the AEO certification validity period.

Applicant use

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| **Supporting evidence list** **including document number, title and relevant section or page number:**  <applicant to delete this text and replace with required information> |
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**CPM6** – An AEO shall establish and maintain a register of all engineering and other engineering-related services provided by staff and their competences.

Applicant use

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| **Supporting evidence list** **including document number, title and relevant section or page number:**  <applicant to delete this text and replace with required information> |
| **Documented process self-rating:** 0  1  2  3  4  5  *(applicant to click in box)*  **Deployed process self-rating:**  0  1  2  3  4  5  *(applicant to click in box)* |

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| **Assessment**  **Documented process rating:** 0  1  2  3  4  5  *(TFNSW to click in box)*  **Deployed process rating:** 0  1  2  3  4  5  *(TFNSW to click in box)*  **General notes**: <TFNSW to delete this text and replace with required information> |
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**CPM7** – An AEO shall maintain the competence of those managers and assessors implementing the competence management system and ensure that the managers and assessors understand their responsibilities.

Applicant use

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| **Supporting evidence list** **including document number, title and relevant section or page number:**  <applicant to delete this text and replace with required information> |
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**CPM8** – An AEO shall demonstrate its knowledge management capability as suitable to the scope of services and the sharing of industry relevant lessons learnt within the organisation and with the TFNSW.

Applicant use

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| **Supporting evidence list** **including document number, title and relevant section or page number:**  <applicant to delete this text and replace with required information> |
| **Documented process self-rating:** 0  1  2  3  4  5  *(applicant to click in box)*  **Deployed process self-rating:**  0  1  2  3  4  5  *(applicant to click in box)* |

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| **Assessment**  **Documented process rating:** 0  1  2  3  4  5  *(TFNSW to click in box)*  **Deployed process rating:** 0  1  2  3  4  5  *(TFNSW to click in box)*  **General notes**: <TFNSW to delete this text and replace with required information> |
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7 – Stakeholder management

**ENM20** – An AEO shall have arrangements in place to identify and manage internal and external stakeholders as appropriate to the scale and scope of engineering services being provided.

Applicant use

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| **Comment:** <applicant to delete this text and replace with required information> |
| **Supporting evidence list** **including document number, title and relevant section or page number:**  <applicant to delete this text and replace with required information> |
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| **Assessment**  **Documented process rating:** 0  1  2  3  4  5  *(TFNSW to click in box)*  **Deployed process rating:** 0  1  2  3  4  5  *(TFNSW to click in box)*  **General notes**: <TFNSW to delete this text and replace with required information> |
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8 – Resources management

**ENM21** – An AEO shall have arrangements in place to ensure the required tangible and non-tangible resources are available as necessary for the provision of the authorised scope of engineering services.

Applicant use

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| **Comment:** <applicant to delete this text and replace with required information> |
| **Supporting evidence list** **including document number, title and relevant section or page number:**  <applicant to delete this text and replace with required information> |
| **Documented process self-rating:** 0  1  2  3  4  5  *(applicant to click in box)*  **Deployed process self-rating:**  0  1  2  3  4  5  *(applicant to click in box)* |

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| **Assessment**  **Documented process rating:** 0  1  2  3  4  5  *(TFNSW to click in box)*  **Deployed process rating:** 0  1  2  3  4  5  *(TFNSW to click in box)*  **General notes**: <TFNSW to delete this text and replace with required information> |
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| **OB**  **OFI**  **AOC**  **SAOC**  **Com**  <TFNSW to delete this text and replace with required information> |

9 – Supplier management

**ENM22** – An AEO shall have arrangements in place, appropriate to the scope of services, to manage selection, evaluation and monitoring of internal or external suppliers and to assure selection and acquisition of required products and services.

Applicant use

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| **Comment:** <applicant to delete this text and replace with required information> |
| **Supporting evidence list** **including document number, title and relevant section or page number:**  <applicant to delete this text and replace with required information> |
| **Documented process self-rating:** 0  1  2  3  4  5  *(applicant to click in box)*  **Deployed process self-rating:**  0  1  2  3  4  5  *(applicant to click in box)* |

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| **Assessment**  **Documented process rating:** 0  1  2  3  4  5  *(TFNSW to click in box)*  **Deployed process rating:** 0  1  2  3  4  5  *(TFNSW to click in box)*  **General notes**: <TFNSW to delete this text and replace with required information> |
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10 – Performance measurement and evaluation

**ENM23** – An AEO shall periodically review key service delivery processes using established measurement processes, methods and defined quantitative performance criteria.

Applicant use

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| **Comment:** <applicant to delete this text and replace with required information> |
| **Supporting evidence list** **including document number, title and relevant section or page number:**  <applicant to delete this text and replace with required information> |
| **Documented process self-rating:** 0  1  2  3  4  5  *(applicant to click in box)*  **Deployed process self-rating:**  0  1  2  3  4  5  *(applicant to click in box)* |

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| **Assessment**  **Documented process rating:** 0  1  2  3  4  5  *(TFNSW to click in box)*  **Deployed process rating:** 0  1  2  3  4  5  *(TFNSW to click in box)*  **General notes**: <TFNSW to delete this text and replace with required information> |
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11 – Continual improvement management

**ENM24** – An AEO shall have arrangements in place for continual and systematic process improvement based on measured processes performance.

Applicant use

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| **Comment:** <applicant to delete this text and replace with required information> |
| **Supporting evidence list** **including document number, title and relevant section or page number:**  <applicant to delete this text and replace with required information> |
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**Checklist completion – applicant section:**

For guidance in completing the form refer to T MU MD 00009 ST AEO Authorisation Requirements which provides requirements applicability depending on the organisation’s scope and nature of the business.

To complete the form firstly enter the name of the organisation in the 'Organisation' cell and the name and title of the person preparing the form in the 'Prepared by' cell. Then for each applicable requirement, complete the cells as follows:

1. Explain how the organisation meets the requirement in the 'Comment’ cell. Comments should be applicable, concise and specific to the requirement. If the requirement is not applicable to the scope, enter N/A in the ‘Comment’ cell.
2. Provide a list of evidence in the ‘Supporting evidence list including document number, title and relevant section or page number:’ cell for each applicable AEO requirement. Include references to specific sections or pages within documents cited as evidence to indicate where the information is located that demonstrates meeting the requirement.

The list should include evidence of an organisation’s documented systems and deployed or executed practices that fulfil the requirement for a particular scope as applicable.

Evidence of documented systems may include various project planning templates, organisational policies, processes, procedures, work instructions, checklists and other templates and forms which demonstrate the capability to address the requirement. Evidence of the requirement deployment may include actual project plans, records of implementation of processes or plans, relevant reports, other records and evidence of actual delivery of engineering services in accordance with the best industry practice for the requirement.

1. In the 'Documented process self-rating' cell click in a box to indicate maturity rating (0 to 5 as shown in Table 1) of the documented process addressing the requirement.
2. In the 'Deployed process self-rating' cell click in a box to indicate maturity rating (0 to 5 as shown in Table 1) of the deployed process or practice addressing the requirement.
3. Note: A maturity rating of 4 or 5 is only possible if the optional ENM23 and ENM24 requirements are completed and that all applicable requirement maturity ratings are at least 3.

If further clarification is needed, contact your authorisation facilitator.

**Checklist completion – TfNSW section:**

A first round initial check (preliminary review) is conducted on the ‘Applicant use’ sections of the systems assessment form and if satisfactory, the TFNSW requests submission of the evidence before an organisation qualifies for an assessment.

When a first round initial check is undertaken, the assessor selects the relevant checkbox as follows:

* N/A – requirement is not applicable for the scope applied
* acceptable – the comments or evidence provided are acceptable to proceed to the assessment stage
* resubmit – the comments or evidence provided are unsatisfactory to proceed to the assessment stage and the assessor provides guiding comments for the applicant in the 'Comment' cell

On resubmission, the applicant makes the necessary changes in the ‘Applicant use’ cells.

The final maturity rating is done in accordance with T MU MD 00009 SP.