

ELECTRICITY INDUSTRY PARTICIPATION CODE  
DISTRIBUTED UNMETERED LOAD AUDIT REPORT

VERITEK

For

WAIMEA RETIREMENT VILLAGE AND  
CONTACT ENERGY

Prepared by: Rebecca Elliot

Date audit commenced: 8 November 2018

Date audit report completed: 23 November 2018

Audit report due date: 01-Dec-18

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## EXECUTIVE SUMMARY

This audit of the Waimea Retirement Village (**Waimea**) Unmetered Streetlights DUML database and processes was conducted at the request of Contact Energy Limited (**Contact**), in accordance with clause 15.37B. The purpose of this audit is to verify that the volume information is being calculated accurately, and that profiles have been correctly applied.

The audit was conducted in accordance with the audit guidelines for DUML audits version 1.1.

Network Tasman have created a database to track the lamps at Waimea.

The field audit was undertaken of the entire Waimea database, consisting of 43 items of load on 13<sup>th</sup> November 2018. The field audit recorded 100% accuracy.

The submission was found to match the database provided which matches the registry unmetered load value.

There were no non-compliances found or recommendations made. The future risk rating of 0 indicates that the next audit be completed in 36 months.

## AUDIT SUMMARY

### NON-COMPLIANCES

Subject	Section	Clause	Non-Compliance	Controls	Audit Risk Rating	Breach Risk Rating	Remedial Action
			Nil				
Future Risk Rating						0	

Future risk rating	0	1-4	5-8	9-15	16-18	19+
Indicative audit frequency	36 months	24 months	18 months	12 months	6 months	3 months

### RECOMMENDATIONS

### ISSUES

Subject	Section	Description	Issue
		Nil	

## 1. ADMINISTRATIVE

### 1.1. Exemptions from Obligations to Comply with Code

#### Code reference

Section 11 of Electricity Industry Act 2010.

#### Code related audit information

Section 11 of the Electricity Industry Act provides for the Electricity Authority to exempt any participant from compliance with all or any of the clauses.

#### Audit observation

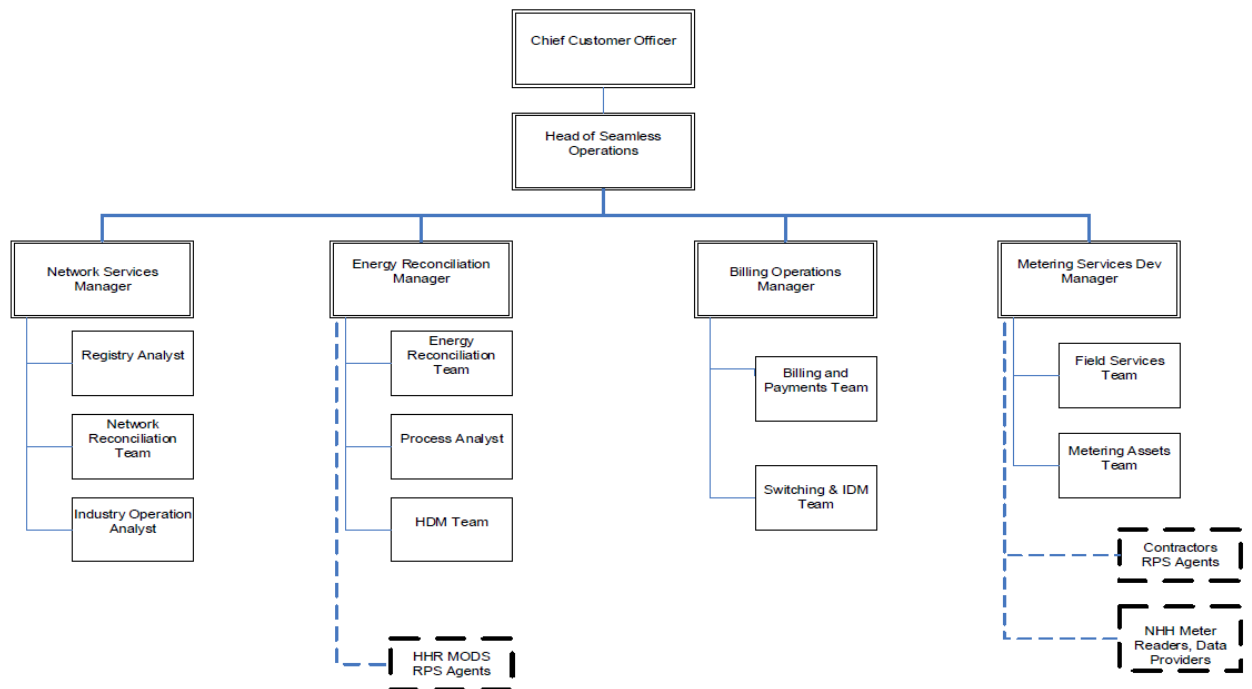
Section 11 of the Electricity Industry Act provides for the Electricity Authority to exempt any participant from compliance with all or any of the clauses.

#### Audit commentary

There are no exemptions in place relevant to the scope of this audit.

### 1.2. Structure of Organisation

Contact provided a copy of their organisational structure:



### 1.3. Persons involved in this audit

Auditor:

Name	Title
Rebecca Elliot	Lead Auditor
Debbie Anderson	Supporting Auditor

Other personnel assisting in this audit were:

Name	Title	Company
Allie Jones	External Operations Analyst	Contact Energy
Wendy Hartshorne	Registry Supervisor	Network Tasman

### 1.4. Hardware and Software

The Access database used by Network Tasman is backed-up in accordance with standard industry procedures. Access to the database is secure by way of password protection and back up arrangements are in place.

### 1.5. Breaches or Breach Allegations

There are no breach allegations relevant to the scope of this audit.

### 1.6. ICP Data

ICP Number	Description	Profile	Number of items of load	Database wattage (watts)
0000036536NT7F0	UNMETERED STREET LIGHTS WAIMEA VILLAGE	RPS	43	603
<b>Total</b>			<b>43</b>	<b>603</b>

### 1.7. Authorisation Received

All information was provided directly by Contact or Network Tasman.

### 1.8. Scope of Audit

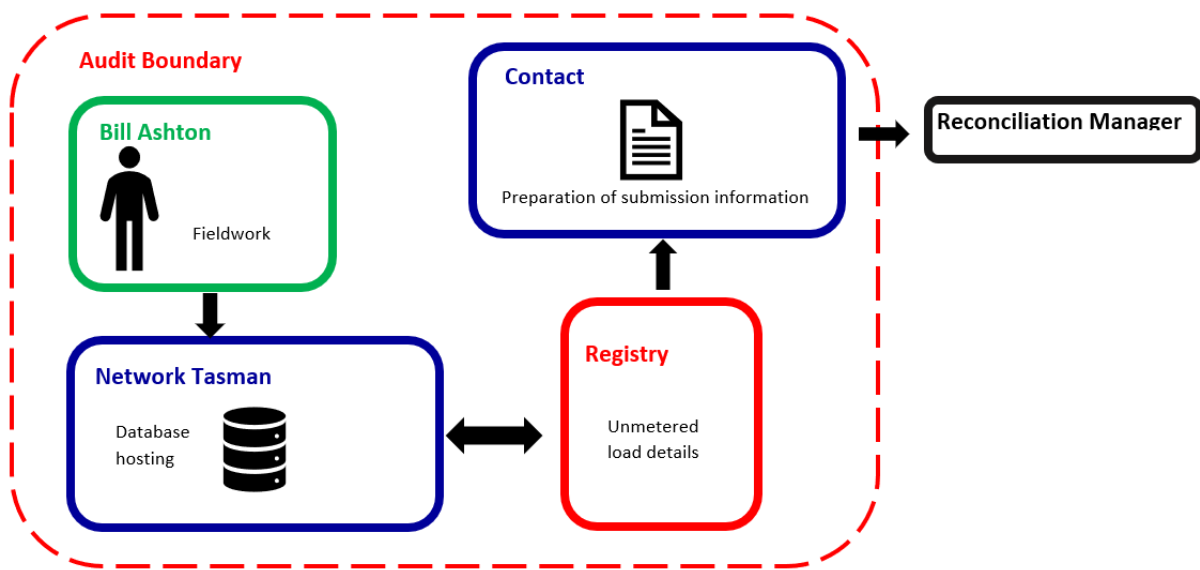
This audit of the Waimea Village DUMML database and processes was conducted at the request of Contact, in accordance with clause 15.37B. The purpose of this audit is to verify that the volume information is being calculated accurately, and that profiles have been correctly applied.

The audit was conducted in accordance with the audit guidelines for DUMML audits version 1.1.

Network Tasman manage these items in their Access database. This information is also recorded on the registry which in turn is used for submission.

Any changes made to the field are notified by the Village Manager, Bill Ashton, to Network Tasman who then update the database and if required the unmetered load value on the Registry.

The scope of the audit encompasses the collection, security and accuracy of the data, including the preparation of submission information based on the database reporting. The diagram below shows the audit boundary for clarity.



The field audit was undertaken of the entire Waimea Village spreadsheet, consisting of 43 items of load on 13<sup>th</sup> November 2018.

### 1.9. Summary of previous audit

This is the first audit of Network Tasman’s database undertaken by Contact. The previous audit was undertaken prior to the database being in place by Rebecca Elliott of Veritek Limited in April 2018.

## Table of Non-Compliance

Subject	Section	Clause	Non-compliance	Status
Deriving Submission	2.1	11(1) of Schedule 15.3	No database in place.	Cleared
ICP Identifier	2.2	11(2)(a) of Schedule 15.3	No database in place.	Cleared
Location of Load	2.3	11(2)(b) of Schedule 15.3	No database in place.	Cleared
Wattages	2.4	11(2)(c) & (d) of Schedule 15.3	No database in place.	Cleared
All Load Recorded in Database	2.5	11(2A) of Schedule 15.3	No database in place.	Cleared
Tracking of Load Change	2.6	11(3) of Schedule 15.3	No database in place.	Cleared
Audit Trail	2.7	11(4) of Schedule 15.3	No database in place.	Cleared
Database accuracy	3.1	15.2 & 15.37B(b)	No database in place.	Cleared
Volume Accuracy	3.2	15.2 & 15.37B(c)	Light volume discrepancy and therefore an estimated over submission of 1,981 kWh per annum	Cleared

## Table of Recommendations

Subject	Section	Recommendation	Status
Volume Accuracy	3.2	Full field audit required and database established to manage this load.	Cleared

### 1.10. Distributed unmetered load audits (Clause 16A.26 and 17.295F)

#### Code reference

*Clause 16A.26 and 17.295F*

#### Code related audit information

*Retailers must ensure that DUML database audits are completed:*

- 1. by 1 June 2018 (for DUML that existed prior to 1 June 2017)*
- 2. within three months of submission to the reconciliation manager (for new DUML)*
- 3. within the timeframe specified by the Authority for DUML that has been audited since 1 June 2017.*

#### Audit observation

Contact have requested Veritek to undertake this streetlight audit.

#### Audit commentary

This audit report confirms that the requirement to conduct an audit has been met for this database within the required timeframe. Compliance is confirmed.



## 2. DUML DATABASE REQUIREMENTS

### 2.1. Deriving submission information (Clause 11(1) of Schedule 15.3)

#### Code reference

*Clause 11(1) of Schedule 15.3*

#### Code related audit information

*The retailer must ensure the:*

- *DUML database is up to date*
- *methodology for deriving submission information complies with Schedule 15.5.*

#### Audit observation

The process for calculation of consumption was examined and the application of profiles was checked. The database was checked for accuracy.

#### Audit commentary

Contact reconciles this DUML load using the RPS profile.

Network Tasman track these lights in the Access database for all of the lamps at Waimea Village and use this information to maintain the Registry's unmetered load value. Contact use the Distributor's recorded wattage from the registry for submission purposes.

The information on the Registry matches to the values in the database. I checked the submission calculation provided by Contact against the data extract, and Registry, and it matches.

#### Audit outcome

Compliant

### 2.2. ICP identifier and items of load (Clause 11(2)(a) and (aa) of Schedule 15.3)

#### Code reference

*Clause 11(2)(a) and (aa) of Schedule 15.3*

#### Code related audit information

*The DUML database must contain:*

- *each ICP identifier for which the retailer is responsible for the DUML*
- *the items of load associated with the ICP identifier.*

#### Audit observation

The database was checked to confirm the correct ICP was recorded against each item of load.

#### Audit commentary

All items of load have an ICP recorded against them.

#### outcome

Compliant

### 2.3. Location of each item of load (Clause 11(2)(b) of Schedule 15.3)

#### Code reference

*Clause 11(2)(b) of Schedule 15.3*

#### Code related audit information

*The DUMML database must contain the location of each DUMML item.*

#### Audit observation

The database was checked to confirm the location is recorded for all items of load.

#### Audit commentary

The database has a field for street name and a location description, both of which are populated for all items.

#### Audit outcome

Compliant

### 2.4. Description and capacity of load (Clause 11(2)(c) and (d) of Schedule 15.3)

#### Code reference

*Clause 11(2)(c) and (d) of Schedule 15.3*

#### Code related audit information

*The DUMML database must contain:*

- *a description of load type for each item of load and any assumptions regarding the capacity*
- *the capacity of each item in watts.*

#### Audit observation

The database was checked to confirm that it contained a field for lamp type and wattage capacity and included any ballast or gear wattage and that each item of load had a value recorded in these fields.

#### Audit commentary

The database contains a Lamp Type, Lamp Size and Total Watts fields. These fields are populated for every item in the spreadsheet.

The accuracy of wattage and ballasts in the database is discussed in **section 3.1**.

#### Audit outcome

Compliant

## 2.5. All load recorded in database (Clause 11(2A) of Schedule 15.3)

### Code reference

Clause 11(2A) of Schedule 15.3

### Code related audit information

The retailer must ensure that each item of DUML for which it is responsible is recorded in this database.

### Audit observation

The field audit was undertaken of the entire database of 43 items of load on 13<sup>th</sup> November 2018.

### Audit commentary

The field audit findings are detailed in the table below:

Street/Area	Database Count	Field Count	Lamp no. difference	No of incorrect lamp wattage	Comments
Ashcroft Place	2	2			
Birchwood Grove	4	4			
Conifer Court	3	3			
Dellwood Green	3	3			
Elmsdale Close	3	3			
Fernlea Rise	2	2			
Gardenia Place	2	2			
Gladstone Road entrance	2	2			
Hawthorn Way	5	5			
Ivy Crescent	6	6			
Juniper Street	1	1			
The Drive	10	10			
Grand Total	43	43	0	0	

The wattage is recorded correctly in the database. There were no items missing from the database.

### Audit outcome

Compliant

## 2.6. Tracking of load changes (Clause 11(3) of Schedule 15.3)

### Code reference

*Clause 11(3) of Schedule 15.3*

### Code related audit information

*The DUML database must track additions and removals in a manner that allows the total load (in kW) to be retrospectively derived for any given day.*

### Audit observation

The process for tracking of changes in the database was examined.

### Audit commentary

Any changes that are made during any given month take effect from the beginning of that month. The information is available which would allow for the total load in kW to be retrospectively derived for any day. On 20<sup>th</sup> September 2012, the Authority sent a memo to Retailers and auditors advising that tracking of load changes at a daily level was not required as long as the database contained an audit trail. I have interpreted this to mean that the production of a monthly “snapshot” report is sufficient to achieve compliance.

The database tracks additions and removals as required by this clause.

The maintenance of the Waimea Village lights is managed privately using Bill Ashton as the subcontractor. Network Tasman are provided updates in relation to these lights and update the database and the registry with the unmetered load details based on this.

### Audit outcome

Compliant

## 2.7. Audit trail (Clause 11(4) of Schedule 15.3)

### Code reference

*Clause 11(4) of Schedule 15.3*

### Code related audit information

*The DUML database must incorporate an audit trail of all additions and changes that identify:*

- *the before and after values for changes*
- *the date and time of the change or addition*
- *the person who made the addition or change to the database.*

### Audit observation

The database was checked for audit trails.

### Audit commentary

The database has a complete audit trail.

### Audit outcome

Compliant

### 3. ACCURACY OF DUML DATABASE

#### 3.1. Database accuracy (Clause 15.2 and 15.37B(b))

##### **Code reference**

*Clause 15.2 and 15.37B(b)*

##### **Code related audit information**

*Audit must verify that the information recorded in the retailer's DUML database is complete and accurate.*

##### **Audit observation**

A 100% field audit was undertaken of the database.

Wattages were checked for alignment with the published standardised wattage table produced by the Electricity Authority.

##### **Audit commentary**

The 100% field audit found all 43 items of load. The database is 100% accurate.

Wattages for all items of load were checked against the published standardised wattage table produced by the Electricity Authority and found to be correct.

##### **Audit outcome**

Compliant

### 3.2. Volume information accuracy (Clause 15.2 and 15.37B(c))

#### **Code reference**

*Clause 15.2 and 15.37B(c)*

#### **Code related audit information**

*The audit must verify that:*

- *volume information for the DUML is being calculated accurately*
- *profiles for DUML have been correctly applied.*

#### **Audit observation**

The submission was checked for accuracy for the month the database extract was supplied. This included:

- checking the registry to confirm that the ICP has the correct profile and submission flag
- checking the database extract combined with the burn hours against the submitted figure to confirm accuracy.

#### **Audit commentary**

Contact reconciles this DUML load using the RPS profile.

Network Tasman have created a database to track all of the lamps at Waimea Village and use this information to maintain the Registry's unmetered load value. Contact use the Distributor's recorded wattage from the Registry for submission purposes.

The information on the Registry matches to the values in the database. I checked the submission calculation provided by Contact against the data extract, and Registry, and it matches.

#### **Audit outcome**

Compliant

## CONCLUSION

Network Tasman have created a database to track the lamps at Waimea.

The field audit was undertaken of the entire Waimea database, consisting of 43 items of load on 13<sup>th</sup> November 2018. The field audit recorded 100% accuracy.

The submission was found to match the database provided and also the Registry unmetered load value.

There were no non-compliances found or recommendations made. The future risk rating of 0 indicates that the next audit be completed in 36 months.

## PARTICIPANT RESPONSE

Contact is pleased with this audit report and agrees 100% with the findings.

We are committed to helping small customers, such as this customer, to ensure their static lights are accurately recorded and they are not penalised with regular audits and the associated costs.

Contact is currently submitting an exemption to the Electricity Authority to help this situation.