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| --- | --- | --- |
| At a glance | **1** | This document provides additional context around the information requested in the RfI Response Template B. |

CONFIDENCE GRADES

1. This RfI includes a confidence grading system which requires each Local Authority to apply a level of confidence to each request.
2. The confidence grade system has been developed to provide a reasoned basis for Local Authorities to qualify information in respect to reliability and accuracy. It is essential that proper care and a high level of application is given to the assignment of confidence grades to data requiring such annexation.
3. There are two elements to the confidence grades:
* Reliability bands (A to D); and
* Accuracy bands (1 to 6).
1. The reliability bands are assigned according to the source of the information.

| **Reliability Band** | **Description** |
| --- | --- |
| A | Sound textual records, procedures, investigations or analysis properly documented and recognised as the best method of assessment. |
| B | As A but with minor shortcomings. Examples include old assessment, some missing documentation, some reliance on unconfirmed reports, some use of extrapolation. |
| C | Extrapolation from limited sample for which Grade A or B data is available. |
| D | Unconfirmed verbal reports, cursory inspections or analysis. |

1. Accuracy bands provide the margin of error around the central estimate.

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| --- | --- | --- |
| **Accuracy Band** | **Accuracy to or within +/-** | **but outside +/-** |
| 1 | 1% | - |
| 2 | 5% | 1% |
| 3 | 10% | 5% |
| 4 | 25% | 10% |
| 5 | 50% | 25% |
| 6 | 100% | 50% |
| X | Accuracy outside +/- 100 %, zero or small numbers or otherwise incompatible, see example below. |

1. The X grade is generally only likely to be appropriate where a zero has been entered.
2. The overall confidence grade is a combination of the reliability and accuracy band. For example:
* A2: Data based on sound records etc. (A, highly reliable) and estimated to be within +/- 5% (accuracy band 2);
* C4: Data based on extrapolation from a limited sample (C, unreliable) and estimated to be within +/- 25% (accuracy band 4);
* AX: Data based on sound records etc. (A, highly reliable) but value too small to calculate any meaningful accuracy percentage.
1. The table below provides a list of compatible confidence grades.

|  |
| --- |
| **Compatible Confidence Grades** |
| **Accuracy Band** | **Reliability Band** |
|  | A | B | C | D |
| 1 | A1 |  |  |  |
| 2 | A2 | B2 | C2 |  |
| 3 | A3 | B3 | C3 | D3 |
| 4 | A4 | B4 | C4 | D4 |
| 5 |  |  | C5 | D5 |
| 6 |  |  |  | D6 |
| X | AX | BX | CX | DX |

1. As shown in the table above, certain reliability and accuracy band combinations are considered to be incompatible – for example, D1 or D2.
2. When selecting a confidence grade from the drop-down boxes provided in the template, it would be appreciated if each Local Authority could add explanatory comments for responses with lower confidence levels in the Comments field.

GLOSSARY

|  |  |
| --- | --- |
| Term | Description |
| m.s.t | Main stop tap |
| Nr | Number |
| PRV | Pressure Relief Valve |
| l/min | Litres per minute |
| DI | Distribution Input  |
| Ml/d | Megalitres per day (thousand m3 per day) |
| 95%ile | 95% percentile |
| WAFU | Water Available for Use |
| WTPs | Water treatment plants |
| WWTPs | Wastewater treatment plants |
| Opex | Operating expenditure |
| Capex | Capital expenditure |
| NZ$m/prop | Million NZ$ per property |
| SOSI | Security of Supply Index |

TABLE B1: WATER AVAILABILITY

1. This table focuses on drinking water (wastewater and stormwater are covered in later sections). In particular, it is concerned with the availability of water within each water resource area.
2. For ease of reporting the Local Authority is asked to report total figures. However, if data > 0 is entered in lines B1.2 and B1.3, the Local Authority is requested to provide a more detailed breakdown in their commentaries. Specific requirements are given in the line definitions.
3. In lines B1.2 to B1.4 and B1.6 to B1.8 headroom calculations are required. The terms used in the line definitions are explained here:

Headroom

1. Difference between the water available for use and the annual average demand (as measured by distribution input {DI}). For the calculation, bulk imports and exports should be the agreed or contractual maximum amounts, dry year DI should represent the reporting year DI adjusted to represent the likely demand in a dry year. The adjustment should be based on measured differences in average demand in a dry year compared to a normal year immediately adjacent to the dry year. Where records are not available the method of adjustment should be stated and compared to other published information.

Water resource area

1. The largest possible area in which all resources, including external transfers, can be shared and hence the area in which all customers experience the same degree of supply failure from a resource shortfall.

Headroom per resource area

1. This covers the headroom available per area. Headroom is expressed per 1,000 customers.

Deployable output

1. **Deployable output** is the maximum amount of water the Local Authority could provide if required. It is the output of a source or group of sources or of bulk supply as constrained by:
	1. Environment
	2. An abstraction licence, if applicable
	3. Pumping plant and/or well/aquifer properties
	4. Raw water mains and/or aquifers
	5. Transfer and/or output main
	6. Water quality
2. For **groundwater sources**, the deployable output is defined as the output for specified conditions and demands of a commissioned source or group of sources as constrained by licensed quantities (e.g. regional consents); water quantity; environment; treatment; raw water mains and/or output main; well construction; aquifer properties.
3. For **surface water sources**, the deployable output is defined as the constant rate of supply that can be maintained from the water resources system except during periods of restriction within the following constraints: given level of service; the historic period for which data is available or could be derived; supply without storage entering the emergency storage zone; supply within the defined physical capacities of the existing system adopted for the simulation; source operation in accordance with the licence, or, for specified scenarios, a Drought Order or Permit.

Outage Allowance

1. **Outage** is defined as temporary loss of deployable output due to planned or unplanned events. Allowable outages affect the water available for use. Planned events are those such as maintenance of source works; unplanned events are exclusively pollution, turbidity, nitrate, algae, power failure and system failure.

Water available for use

1. **Water available for use** is defined as the deployable output less sustainability reductions, plus bulk supply imports, less bulk supply exports and less reductions related to the outage allowance.

Water restrictions

1. This relates to all restrictions to water use as introduced by the company (e.g. watering gardens on certain days). These include legally enforceable and non-legally enforceable (i.e. advisory) restrictions.

Water restrictions process / order

1. Orders to apply water restrictions under relevant legislation which has been approved as required and implemented by the Local Authority. These relate to legally enforceable restrictions only.

BLOCK 1: WATER AVAILABILITY

|  |  |  |
| --- | --- | --- |
| **B1.1** | **Number of water resource areas** | **Nr.** |
| *Definition:* | The total number of water resource areas within the Local Authority’s area. |
| *Processing Rules:* | Calculated field: SUM [B1.2: B1.3] |
| **B1.2** | **Number where headroom ≤5%** | **Nr.** |
| *Definition:* | The total number of water supply areas where the difference between water available for use and the annual average demand (distribution input) is ≤5% of the annual average demand.For all water supply areas included in this row please list the deployable output, outage allowance and water available for use in the commentary. |
| *Processing Rules:* | Input field |
| **B1.3** | **Number where headroom >5%** | **Nr.** |
| *Definition:* | The total number of water supply areas where the difference between water availability for use and the annual average demand (distribution input) is >5% of the annual average demand.For all water supply areas included in this row please list the deployable output, outage allowance and water available for use in the commentary. |
| *Processing Rules:* | Input field |

BLOCK 2: HEADROOM

|  |  |  |
| --- | --- | --- |
| **B1.4** | **Total winter population** | **000**  |
| *Definition:* | Total winter population supplied at the financial year end (30 June) in the Local Authority’s area of supply. This should include billed customers supplied with unmeasured and measured water.Include population served by bulk supplies received. |
| *Processing Rules:* | Brought forward field: A1.43 |
| **B1.5** | **Population in areas where headroom** ≤**5%** | **000**  |
| *Definition:* | Total population being supplied water where the difference between water available for use and the annual average demand (distribution input) is ≤5% of the annual average demand. |
| *Processing Rules:* | Input field |
| **B1.6** | **Population in areas where headroom >5%** | **000**  |
| *Definition:* | Total population being supplied water where the difference between water available for use and the annual average demand (distribution input) is >5% of the annual average demand. |
| *Processing Rules:* | Input field |

BLOCK 3: RESTRICTIONS ON WATER USE

|  |  |  |
| --- | --- | --- |
| **B1.7** | **% population affected by water restrictions** | **%**  |
| *Definition:* | The percentage of population affected by water restrictions for any reason at any point in the year. These include legally enforceable and non-legally enforceable (i.e. advisory) restrictions. |
| *Processing Rules:* | Input field |
| **B1.8** | **% population affected by water restriction orders** | **%**  |
| *Definition:* | The percentage of population affected by water restriction process / orders. These include legally enforceable restrictions only.  |
| *Processing Rules:* | Input field |

TABLE B1a: WATER AVAILABILITY

1. This table focuses on drinking water (wastewater and stormwater are covered in later sections). In particular, it is concerned with the availability of water within each water resource area.
2. This table differs from Table B1 in that it considers headroom with respect to peak daily demand in the summer rather than annual average demand.
3. Headroom calculations are required in lines B1a.2 to B1a.4 and B1a.5 to B1a.6. The terms used in the line definitions are explained here:

Headroom

1. This is the difference between the water available for use and the peak daily demand.

Water resource area

1. The largest possible area in which all resources, including external transfers, can be shared and hence the area in which all customers experience the same degree of supply failure from a resource shortfall.

Headroom per resource area

1. This covers the headroom available per area. Headroom is expressed per 1,000 customers.

Water available for use

1. **Water available for use** is defined as the deployable output less sustainability reductions, plus bulk supply imports, less bulk supply exports and less reductions related to the outage allowance.

Deployable output

1. **Deployable output** is the maximum amount of water the Local Authority could provide if required. It is the output of a source or group of sources or of bulk supply as constrained by:
2. Environment
3. An abstraction licence, if applicable
4. Pumping plant and/or well/aquifer properties
5. Raw water mains and/or aquifers
6. Transfer and/or output main
7. Water quality
8. For **groundwater sources**, the deployable output is defined as the output for specified conditions and demands of a commissioned source or group of sources as constrained by licensed quantities (e.g. regional consents); water quantity; environment; treatment; raw water mains and/or output main; well construction; aquifer properties.
9. For **surface water sources**, the deployable output is defined as the constant rate of supply that can be maintained from the water resources system except during periods of restriction within the following constraints: given level of service; the historic period for which data is available or could be derived; supply without storage entering the emergency storage zone; supply within the defined physical capacities of the existing system adopted for the simulation; source operation in accordance with the licence, or, for specified scenarios, a Drought Order or Permit.

Outage Allowance

1. Outage is defined as temporary loss of deployable output due to planned or unplanned events. Allowable outages affect the water available for use. Planned events are those such as maintenance of source works; unplanned events are exclusively pollution, turbidity, nitrate, algae, power failure and system failure.

**BLOCK 1: WATER AVAILABILITY**

|  |  |  |
| --- | --- | --- |
| **B1a.1** | **Number of water resource areas** | **Nr.** |
| *Definition:* | The total number of water resource areas within the Local Authority’s area. |
| *Processing Rules:* | Calculated field: SUM [B1a.2: B1a.3] |
| **B1a.2** | **Number where headroom ≤5%** | **Nr.** |
| *Definition:* | The total number of water supply areas where the difference between water available for use and the peak daily demand in summer is ≤5% of the peak daily demand.For all water supply areas included in this row please list the peak daily demand and water available for use in the commentary. |
| *Processing Rules:* | Input field |
| **B1a.3** | **Number where headroom >5%** | **Nr.** |
| *Definition:* | The total number of water supply areas where the difference between water available for use and the peak daily demand in summer is >5% of the peak daily demand.For all water supply areas included in this row please list the peak daily demand in summer and water available for use in the commentary. |
| *Processing Rules:* | Input field |

**BLOCK 2: HEADROOM**

|  |  |  |
| --- | --- | --- |
| **B1a.4** | **Total winter population** | **000**  |
| *Definition:* | Total winter population supplied at the financial year end (30 June) in the Local Authority’s area of supply. This should include billed customers supplied with unmeasured and measured water.Include population served by bulk supplies received. |
| *Processing Rules:* | Brought forward field: A1.43 |
| **B1a.5** | **Population in areas where headroom** ≤**5%** | **000**  |
| *Definition:* | Total population being supplied water where the difference between water available for use and the peak daily demand in summer is ≤5% of the peak daily demand. |
| *Processing Rules:* | Input field |
| **B1a.6** | **Population in areas where headroom >5%** | **000**  |
| *Definition:* | Total population being supplied water where the difference between water available for use and the peak daily demand in summer is >5% of the peak daily demand. |
| *Processing Rules:* | Input field |

TABLE B2: PRESSURE AND INTERRUPTIONS

Overall guidance

1. If the information is not available for the measure requested, Local Authorities should provide their best-informed guess based on the information available and reflect the uncertainty in selecting the appropriate confidence grade.
2. Using unplanned interruptions in Table B2 as an example, if the Local Authority has collected information which shows that 150 properties were restored within 8 hours then this would serve as a maximum for the number of properties restored within six hours in line B2.43. A Local Authority could therefore make an informed guess that 100 properties were restored within 6 hours and apply a confidence grade of D5 which would suggest that the reported performance is within +/-50% of the actual performance in the year. This would result in a maximum of 150 properties (100 + (100 \* 50%)) in line with the known properties restored within 8 hours.
3. For the avoidance of doubt, this covers on-demand and rural supplies provided by Local Authorities.

Aim

1. To identify the number of properties which have received and are likely to continue to receive pressure below the reference level when demand is not abnormal.

Common definitions

1. **Reference level**: The reference level of service is a flow of **9l/min** at a pressure of **10m** head on the customer's side of the main stop tap (m.s.t). The reference level of service must be applied on the customer's side of a meter or any other fittings which are on the customer's side of the m.s.t. The reference level applies to a single property. Where more than one property is served by a common service pipe, the flow assumed in the reference level must be appropriately increased to take account of the total number of properties served. For two properties, a flow of **18l/min** at a pressure of **10m** head on the customers' side of the m.s.t. is appropriate.
2. **Allowable exclusions**: There are a number of circumstances under which properties identified as receiving low pressure should be excluded from the reported figure. The aim of these exclusions is to exclude properties which receive a low pressure as a result of a one-off event and which, under normal circumstances (including normal peaks in demand), will not receive pressure or flow below the reference level. All properties identified as having received pressure or flow below the reference level must be reported, unless it can be confirmed that they are covered by one of these exclusions.
	1. **Abnormal demand**: This exclusion is intended to cover abnormal peaks in demand and not the daily, weekly or monthly peaks in demand which are normally expected. The Local Authority should exclude from the reported figures properties which are affected by low pressure only on those days with the highest peak demands. During the report year the Local Authority may exclude, for each property, up to five days of low pressure caused by peak demand.
	2. **Planned maintenance:** The Local Authority should not report under low pressures caused by planned maintenance. It is not intended that the Local Authority identify the number of properties affected in each instance. However, the Local Authority must maintain sufficiently accurate records to verify that low pressure incidents which are excluded because of planned maintenance are actually caused by maintenance.
	3. **One-off incidents:** This exclusion covers a number of causes of low pressure:
		* mains bursts;
		* failures of the Local Authority equipment (such as PRVs or booster pumps);
		* firefighting; and
		* action by a third party.

However, if problems of this type affect a property frequently, they cannot be classed as one-off events and further investigation will be required before they can be excluded.

* 1. **Low pressure incidents of short duration:** Properties affected by low pressures which only occur for a short period, and for which there is evidence that incidents of a longer duration would not occur during the course of the year, may be excluded from the reported figures.

Guidance

1. **Incidents of short duration**: In locations where the Local Authority carries out continuous pressure logging year-round, low pressure incidents of less than one hour may be excluded.
2. Where short term or intermittent logging is used, if all low-pressure incidents lasting less than one hour are excluded there is a danger that properties which are actually below the reference level will be missed from the poor pressure figures.
3. In this case a suitable minimum duration depends on the exact methodology used but may be 30 or even 15 minutes. If logging is carried out at times when low pressures are unlikely to be detected because demand is low, the results cannot be used to confirm zero returns.

Lines 11 to 32: Properties affected by unplanned supply interruptions

Aim

1. To identify the number of properties affected by unplanned supply interruptions.

Common definitions

1. To ensure consistency of information returns the following regularly used terms are defined below:
2. **Duration** is defined as the length of time for which customers are without a continuous supply of water. An interruption starts when water is unavailable from the first cold tap in a property and finishes when the supply is restored.
3. **Start time of incident**: An interruption to supply is defined as starting as soon as water is no longer available from the first cold tap in the property. It does not necessarily commence when the Local Authority first takes action, for example, by closing a valve (the interruptions may have started some time earlier). The Local Authority is expected to ascertain the approximate time when customers first lose their supply.
4. In practice, it may not always be possible to determine when supply was first lost, and the Local Authority may have to use the time when customers first noticed the loss of supply. If this cannot be established, the Local Authority should use the time at which they were first notified of the interruption.
5. **Properties affected by more than one interruption during the report year:** Properties which are affected by more than one interruption during the report year should be reported separately for each interruption. This means, for example, that a property affected by three supply interruptions would be reported three times, once for each interruption.
6. **Major incidents:** The Local Authority may report in their commentary any major incidents during the report year which they believe adversely affected their performance.
7. Information on the number of incidents which causes interruptions is not required.
8. **Unplanned/unwarned interruptions:** Number of properties affected by unplanned, unwarned water supply interruptions EXCEPT those caused directly by third parties.
9. **Unplanned but caused by third parties**: Number of properties affected by unplanned interruptions caused by the action of a third party.
10. **Unplanned due to overruns of planned and warned interruptions:** Number of properties affected by interruptions to water supplies caused by a planned and warned interruption exceeding the warned time. Overruns caused by third parties should be excluded and reported under the appropriate third-party line. The qualifying time includes the warned time plus the overrun time. Includes planned but unwarned.

Commentaries

1. To ensure comparability of information, the Local Authority must report in the Request for Information tables against the specified definitions, not the Local Authority’s own internal standards. However, if the Local Authority wishes to report additional information on performance against alternative standards this may be included in the commentary, but the alternative basis must be clearly stated. Any figures relating to the alternative standard must be clearly identified as such to avoid confusion.
2. The Local Authority may also identify in their commentary any properties which suffered an interruption to supply where the Local Authority considers that customers would not notice the loss of service, for example because it occurred at night.

BLOCK 1: PROPERTIES RECEIVING PRESSURE / FLOW BELOW REFERENCE LEVEL

|  |  |  |
| --- | --- | --- |
| **B2.1** | **Total connected properties at year end** | **000**  |
| *Definition:* | Number of household and non-household properties within the supply area as at 30 June of the reporting year. |
| *Processing Rules:* | Brought forward field from A1.39 |
| **B2.9** | **Properties below reference level at end of year** | **Nr.** |
| *Definition:* | The total number of properties in the undertaker's/responsible party’s area of water supply which, at the end of the year, have received and are likely to continue to receive a pressure or flow below the reference level. As outlined above, the reference level is **10 metre head** at a flow of **9 litres per minute**.For the avoidance of doubt, this covers on-demand and rural supplies provided by Local Authorities.  |
| *Processing Rules:* | Input field |

BLOCK 2: PROPERTIES AFFECTED BY UNPLANNED INTERRUPTIONS

|  |  |  |
| --- | --- | --- |
| **B2.17** | **Unplanned interruptions** | **Nr.** |
| *Definition:* | The number of unplanned interruptions excluding those due to third parties, planned but unwarned or planned but overrunning interruptions. |
| *Processing Rules:* | Input field |
| **B2.18** | **Unplanned but caused by third party** | **Nr.** |
| *Definition:* | The number of unplanned interruptions caused by a third party. |
| *Processing Rules:* | Input field |

|  |  |  |
| --- | --- | --- |
| **B2.19** | **Unplanned overruns and unwarned** | **Nr.** |
| *Definition:* | The number of unplanned interruptions due to unwarned planned interruptions or planned interruption overruns. |
| *Processing Rules:* | Input field |
| **B2.20** | **Total unplanned interruptions** | **Nr.** |
| *Definition:* | The total number of unplanned interruptions. |
| *Processing Rules:* | Calculated field. Sum of B2.17 to B2.19 |
| **B2.21** | **Properties affected by unplanned interruptions (include each incident)** | **Nr.** |
| *Definition:* | The number of properties affected by unplanned interruptions to water supplies, excluding those due to third parties or planned interruptions unwarned or overrunning. A property should be counted each time it is affected by an unplanned interruption. Therefore, if it is affected 3 times in one year it should be counted 3 times. |
| *Processing Rules:* | Input field |
| **B2.22** | **Properties affected by unplanned interruptions caused by 3rd party (include each incident)** | **Nr.** |
| *Definition:* | The number of properties affected by unplanned interruptions to water supplies caused by a third party.A property should be counted each time it is affected by an unplanned interruption. Therefore, if it is affected 3 times in one year it should be counted 3 times. |
| *Processing Rules:* | Input field |
| **B2.23** | **Properties affected by unplanned overruns and unwarned (include each incident)** | **Nr.** |
| *Definition:* | The number of properties affected by planned interruptions to water supplies overrunning or unwarned.A property should be counted each time it is affected by an unplanned interruption. Therefore, if it is affected 3 times in one year it should be counted 3 times. |
| *Processing Rules:* | Input field |

|  |  |  |
| --- | --- | --- |
| **B2.24** | **Total properties affected (include each incident)** | **Nr.** |
| *Definition:* | The total number of properties affected by unplanned interruptions to water supplies.A property should be counted each time it is affected by an unplanned interruption. Therefore, if it is affected 3 times in one year it should be counted 3 times. |
| *Processing Rules:* | Calculated field. Sum of B2.21 to B2.23. |
| **B2.25** | **Unplanned interruptions per 1000 properties** | **Nr.** |
| *Definition:* | The number of unplanned interruptions per 1000 properties. |
| *Processing Rules:* | Calculated field: the product of line B2.20 / B2.1 |
| **B2.26** | **Unplanned interruptions per 100 km of water main** | **Nr.** |
| *Definition:* | The number of unplanned interruptions per 100 km of water mains. |
| *Processing Rules:* | Input field |

BLOCK 3: UNPLANNED INTERRUPTIONS – RESTORATION TIME

|  |  |  |
| --- | --- | --- |
| **B2.27** | **Total number of unplanned mains interruptions** | **Nr.** |
| *Definition:* | Total number of unplanned interruptions to supply which have affected water mains.  |
| *Processing Rules:* | Input field |
| **B2.28** | **Total number of properties affected by unplanned mains interruptions** | **Nr.** |
| *Definition:* | Total number of properties affected by an unplanned interruption to supply. |
| *Processing Rules:* | Input field |
| **B2.29** | **Total number of properties restored > 6 hours** | **Nr.** |
| *Definition:* | The total number of properties affected by an unplanned interruption to supply of greater than 6 hours duration. This should be included within the incidents reported in line B2.41 and the properties reported in line B2.42.  |
| *Processing Rules:* | Input field |
| **B2.30** | **Total number of properties restored > 12 hours** | **Nr.** |
| *Definition:* | The total number of properties affected by an unplanned interruption to supply of greater than 12 hours duration. This should be included within the incidents reported in line B2.41 and the properties reported in line B2.42.  |
| *Processing Rules:* | Input field |

|  |  |  |
| --- | --- | --- |
| **B2.31** | **Total number of properties restored > 24 hours** | **Nr.** |
| *Definition:* | The total number of properties affected by an unplanned interruption to supply of greater than 24 hours duration. This should be included within the incidents reported in line B2.41 and the properties reported in line B2.42. |
| *Processing Rules:* | Input field |
| **B2.32** | **Total number of properties restored > 48 hours** | **Nr.** |
| *Definition:* | The total number of properties affected by an unplanned interruption to supply of greater than 48 hours duration. This should be included within the incidents reported in line B2.41 and the properties reported in line B2.42. |
| *Processing Rules:* | Input field |

TABLE B3: WASTEWATER FLOODING INSIDE A PROPERTY

Overall guidance

1. If the information is not available for the measure requested, Local Authorities should provide their best informed guess based on the information available and reflect the uncertainty in selecting the appropriate confidence grade.
2. Using unplanned interruptions in Table B2 as an example, if the Local Authority has collected information which shows that 150 properties were restored within 8 hours then this would serve as a maximum for the number of properties restored within six hours in line B2.43. A Local Authority could therefore make an informed guess that 100 properties were restored within 6 hours and apply a confidence grade of D5 which would suggest that the reported performance is within +/-50% of the actual performance in the year. This would result in a maximum of 150 properties (100 + (100 \* 50%)) in line with the known properties restored within 8 hours.
3. For forecast performance in 2020/21, Local Authorities are suggested to provide an estimate based on historic performance (e.g. average performance over the previous 5 years).
4. Flooding of habitable floors from stormwater systems is dealt with in Table B3b.

Purpose of the table

1. To measure the frequency of actual flooding of properties from the public wastewater system. This table includes:
2. **Annual Flooding of Habitable Floors – Overloaded Wastewater Systems**
3. **Annual Flooding of Habitable Floors – Other Causes**

These lines include properties with habitable floors flooded from the wastewater systems for any reason and a breakdown of flooding incidents by cause.

1. **Properties at risk of flooding**

These lines cover properties at risk of habitable floor flooding more frequently than once or twice in ten years.

Common definitions

1. **Flooding of habitable floors:** This refers to a floor of a building including a basement (but does not include ancillary structures such as stand-alone garden sheds and garages). For the purposes of this table, flooding of habitable floors is defined as flooding which enters a building or passes below a suspended floor. For the avoidance of doubt, it is an event when any wastewater enters the building.
2. For reporting purposes, buildings are restricted to those normally occupied and used for residential, public, commercial, business or industrial purposes.

Buildings whose prime purpose is storage or installation of domestic appliances are excluded. This exclusion encompasses both:

* detached garages (whether situated inside the boundary of the property and separated from the main building or outside the boundary but with common access as in a garage block); and
* linked detached garages (i.e. garages which are attached to a property but separated from it by an external passageway).

However, garages forming an integral part of a property are classed as part of the building and are included, even if their prime purpose is storage, etc.

1. **Flooding Incidents:** For the purpose of the request for information, a flooding incident is defined as an incident of flooding of a habitable floor (as defined above) from a public wastewater system.
2. **Overloaded Wastewater System:** A wastewater system is overloaded when the flow is unable to pass through it due to a permanent problem (e.g. flat gradient, small diameter). Temporary problems such as blockages, siltation, collapses and equipment or operational failures are excluded. No account should be taken of the severity of the weather event causing the incident.
3. **Third party Causes:** A third party incident is one where the Local Authority could take action to recover costs from those responsible. Incidents due to third party actions should be included in the appropriate category (i.e. equipment failure, blockages or collapses). The Local Authority may report the total number of these in the Commentary.

Guidance

1. **Flooding Incidents:** All incidents of flooding of a habitable floor in properties should be reported in the table under the appropriate category. For properties which are flooded more than once during the report year, each incident should be reported in the appropriate category (lines B3.2 to B3.13). The structure of the table requires that a property affected by habitable floor flooding from overloaded wastewater system is categorised by frequency.
2. For the purpose of the RfI, all flooding incidents caused by the overloading of wastewater systems (which cannot be attributed to other causes, such as blockages or collapse) must be reported under the heading of overloaded wastewater systems. This includes flooding incidents caused by severe weather events which may be outside the Local Authority 's design standard for a particular wastewater system. Properties affected by a flooding incident should be placed into an appropriate risk category under incidents due to overloaded wastewater systems unless there is positive identification that the finding was due to blockage, collapse or equipment failure. The commentary should state the number of 'unknown cause' properties affected by flooding incidents which have been placed in the overloaded wastewater system category.
3. **Relationship Between Flooding Incidents and Properties 'At Risk':** The aim of the breakdown of flooding incidents caused by overloaded wastewater systems is to enable a comparison between actual incidents and properties reported as being at risk of flooding more than once in ten years and more than twice in ten years.
4. **Severe Weather:** All flooding incidents should be reported in the appropriate category, irrespective of the severity of the event. The Local Authority may indicate in the commentaries when flooding incidents have been due to exceptionally severe rainfall. This should be supported by appropriate meteorological data. Where “Severe Weather” is used we will require an explanation in the Commentary of the weather situation, why it is so unusual and its impact.

Commentaries

1. No specific guidance is given for the commentary by the Local Authority, but they are expected to:
* Comment on significant year on year changes in reported figures; and
* Comment on the number of properties reported under flooding of habitable floors due to overloaded wastewater systems because no other cause has been positively identified for flooding incidents at those properties.
* State whether any allowance has been made for problems as yet undiscovered.

Properties at risk of flooding

Aim

1. To measure the risk of flooding of properties from the public wastewater system by wastewater. In the United Kingdom, water companies keep a record of properties at risk of experiencing flooding from the wastewater system. While we understand that this may not be a requirement in New Zealand, Local Authorities are asked to estimate the number of properties that may be at risk of wastewater system flooding once or twice in ten years on average.

Common definitions

1. **Properties at risk**: These are defined as properties that have suffered or are likely to suffer flooding to habitable floors from wastewater systems due to overloading of the wastewater systems more frequently than the relevant period (either once or twice in ten years).

Guidance

1. Properties at risk of flooding will be identified by a number of methods:
* Historical information on actual flooding incidents; or
* A verified hydraulic model. (Verified means that properties indicated as at risk are known to have flooded, or there is good reason to believe that unreported flooding has occurred, or changes in the network or properties draining to the system clearly put the property in the at risk category although insufficient time has elapsed for actual flooding to have arisen.)
1. When a previously unreported property is flooded, it should normally be at risk and added to the 1 in 10 categories unless:
* Investigation clearly shows that it is at risk of flooding more frequently than twice in ten years, when it should be included in the twice in ten-year category;
* The event was exceptionally severe, and investigation shows that it is clearly not at risk of flooding as frequently as once in ten years and the severity can be verified; or
* The cause was a blockage etc.
1. In all cases, the decision as to whether a property is to be reported as being at risk should be taken in the context of the aim of the indicator, as set out above.
2. All properties which have flooded must be entered in the “At Risk” register, although those meeting the defined exclusion criteria are not reported as being at risk. Properties should not be removed just because they have not flooded for some time. The status should be confirmed by other means, e.g. modelling.
3. **Flap valves:** Where a flap valve is installed to protect a property that is at risk of flooding, as defined above, it should still be reported as being at risk. A flap valve is not considered to represent a permanent solution to alleviating the flooding risk. A property should not be transferred to a lower risk category solely on the basis that installation of a flap valve has reduced the risk of flooding. If the number of such properties is significant the Local Authority should include details in the commentary.

BLOCK 1: ANNUAL FLOODING OF HABITABLE FLOORS – OVERLOADED WASTEWATER SYSTEMS

|  |  |  |
| --- | --- | --- |
| **B3.1** | **Number of properties with habitable floor(s) flooded in the year** | **Nr.** |
| *Definition:* | Number of properties affected by habitable floor flooding incidents due to overloading wastewater systems. This should include all such events, whether or not attributable to severe/extreme weather. The commentary should identify in tabular form the number of cases where the cause was severe weather, blockage, collapse or other. |
| *Processing Rules:* | Input field |

|  |  |  |
| --- | --- | --- |
| **B3.2** | **Number of incidents of habitable floor flooding in the year** | **Nr.** |
| *Definition:* | Number of flooding incidents causing habitable floor flooding to properties due to overloading wastewater systems. An incident should be counted from each ‘source’ of flooding e.g. one manhole floods 3 properties = 1 incident, and not each reason for flooding where one event such as heavy rain causes a large number of flooding incidents. This should include all such events, whether or not attributable to severe/extreme weather.  |
| *Processing Rules:* | Input field |
| **B3.3** | **Number of incidents of habitable floor flooding attributed to severe weather** | **Nr.** |
| *Definition:* | Number of flooding incidents to properties attributable to severe/extreme weather. This should include properties where a domestic cellar is the only part affected by the flooding. |
| *Processing Rules:* | Input field |

BLOCK 2: ANNUAL FLOODING OF HABITABLE FLOORS – OTHER CAUSES

|  |  |  |
| --- | --- | --- |
| **B3.6** | **Number of properties with habitable floor(s) flooded in the year** | **Nr.** |
| *Definition:* | Number of properties affected by habitable floor flooding incidents due to other causes (this includes where due to blockages, sewer collapses, equipment failure and other causes than overloaded wastewater systems).  |
| *Processing Rules:* | Input field |
| **B3.7** | **Number of incidents of habitable floor flooding due to equipment failure** | **Nr.** |
| *Definition:* | These are defined as incidents of habitable floor flooding to a property resulting from the failure or maloperation of Local Authority apparatus (such as pumping stations, flap valves, penstocks, combined sewer overflows, real time control systems). An incident should be counted from each ‘source’ of flooding e.g. one manhole floods 3 properties = 1 incident, and not each reason for flooding where one event such as pumping station failure causes a large number of flooding incidents. |
| *Processing Rules:* | Input field |

|  |  |  |
| --- | --- | --- |
| **B3.8** | **Number of incidents of habitable floor flooding due to blockages** | **Nr.** |
| *Definition:* | These are defined as incidents of habitable floor flooding to a property resulting from a complete or partial blockage of the wastewater system (including siltation) where the wastewater system itself is still intact. If the blockage is the result of a fracture of deformation of the pipe, it should be in the next category. An incident should be counted from each ‘source’ of flooding e.g. one manhole floods 3 properties = 1 incident, and not each reason for flooding where one event causes a large number of flooding incidents. |
| *Processing Rules:* | Input field |
| **B3.9** | **Number of incidents of habitable floor flooding due to wastewater system collapses** | **Nr.** |
| *Definition:* | For the purpose of this indicator these are defined as incidents of habitable floor flooding to a property resulting from a collapse of the wastewater system and include incidents due to fracture or deformation. An incident should be counted from each ‘source’ of flooding e.g. one manhole floods 3 properties = 1 incident, and not each reason for flooding where one event causes a large number of flooding incidents. |
| *Processing Rules:* | Input field |
| **B3.10** | **Number of incidents of habitable floor flooding in the year** | **Nr.** |
| *Definition:* | Total number of flooding incidents in the year causing habitable floor flooding to properties due to other causes (this includes where due to blockages, wastewater system collapses, equipment failure and other causes than overloaded wastewater systems). An incident should be counted from each ‘source’ of flooding e.g. one manhole floods 3 properties = 1 incident, and not each reason for flooding where one event such as pumping station failure causes a large number of flooding incidents. This should include properties where a domestic cellar is the only part affected by the flooding. |
| *Processing Rules:* | Input field |

BLOCK 3: PROPERTIES ‘AT RISK’

(i) At risk summary

|  |  |  |
| --- | --- | --- |
| **B3.22** | **2 in 10 at end of year** | **Nr.** |
| *Definition:* | Properties at risk of flooding twice or more in ten years. |
| *Processing Rules:* | Input field |
| **B3.23** | **1 in 10 at end of year** | **Nr.** |
| *Definition:* | Number of properties at risk of flooding once in 10 years |
| *Processing Rules:* | Input field |
| **B3.24** | **Total at risk** | **Nr.** |
| *Definition:* | Total number of properties at risk of flooding once or more in ten years. |
| *Processing Rules:* | Calculated field: Product of B3.22 + B3.23 |

TABLE B3a: WASTEWATER FLOODING OUTSIDE OF THE CUSTOMER’S PROPERTY- I.E. EXTERNAL FLOODING

Overall guidance

1. If the information is not available for the measure requested, Local Authorities should provide their best-informed guess based on the information available and reflect the uncertainty in selecting the appropriate confidence grade.
2. Using unplanned interruptions in Table B2 as an example, if the Local Authority has collected information which shows that 150 properties were restored within 8 hours then this would serve as a maximum for the number of properties restored within six hours in line B2.43. A Local Authority could therefore make an informed guess that 100 properties were restored within 6 hours and apply a confidence grade of D5 which would suggest that the reported performance is within +/-50% of the actual performance in the year. This would result in a maximum of 150 properties (100 + (100 \* 50%)) in line with the known properties restored within 8 hours.
3. This table covers wastewater flooding incidents outside of a property (e.g. garden, land, street or other public area).
4. Any incidents of habitable floor flooding inside a property should be reported in Table B3 if caused by wastewater systems and B3b if caused by stormwater systems. Stormwater flooding incidents outside of a property should be reported in Table B3c.
5. For forecast performance in 2020/21, Local Authorities are suggested to provide an estimate based on historic performance (e.g. average performance over the previous 5 years).

BLOCK 1: ANNUAL EXTERNAL FLOODING SUMMARY

**(i) Overloaded wastewater systems**

|  |  |  |
| --- | --- | --- |
| **B3a.1** | **Areas flooded externally in the year (overloaded wastewater systems)** | **Nr.** |
| *Definition:* | Total number of areas affected by external flooding incidents in the year due to overloaded wastewater systems. This includes flooding in gardens, streets, land and other public areas. |
| *Processing Rules:* | Input field |
| **B3a.2** | **Curtilage flooding incidents (within a private land boundary) in the year (overloaded wastewater systems)** | **Nr.** |
| *Definition:* | The number of incidents of curtilages affected by external flooding in the year due to overloaded wastewater systems. Curtilage refers to the land within a private land boundary i.e. the enclosed space immediately surrounding a house or dwelling.  |
| *Processing Rules:* | Input field |
| **B3a.3** | **Road corridor flooding incidents (overloaded wastewater systems)** | **Nr.** |
| *Definition:* | Total number of incidents of road corridors flooded in the year due to overloaded wastewater systems. This includes footpaths. |
| *Processing Rules:* | Input field |
| **B3a.4** | **Other flooding incidents (overloaded wastewater systems)** | **Nr.** |
| *Definition:* | Total number of incidents of other areas affected by external flooding in the year due to overloaded wastewater systems. Examples of other areas includes external flooding to non-residential buildings e.g. schools, offices, commercial premises and public buildings; public open space; agricultural land; car parks. |
| *Processing Rules:* | Input field |
| **B3a.5** | **Total number of external flooding incidents (overloaded wastewater systems)** | **Nr.** |
| *Definition:* | Total number of incidents of areas affected by external flooding in the year due to overloaded wastewater systems. This includes flooding in gardens, streets, land and other public areas. |
| *Processing Rules:* | Calculated field: SUM[B3a.2: B3a.4] |
| **B3a.6** | **Number of external flooding incidents (overloaded wastewater systems attributed to severe weather)** | **Nr.** |
| *Definition:* | The number of incidents of external flooding caused by overloaded wastewater systems at areas which are known to be not at risk of flooding more frequently than once in twenty years. Accordingly, this line’s enumeration includes flooding incidents caused by severe storms which affect areas that are not at risk of flooding more frequently than once in twenty years. The Local Authority should use the commentary to report the number of flooding incidents caused by severe weather at areas that are already known to be at risk of flooding from wastewater or stormwater systems more frequently than once in twenty years. Incidents of flooding via the wastewater system caused by overflowing watercourses should be excluded. The Local Authority should include the rainfall return periods for the incidents reported in the commentary. |
| *Processing Rules:* | Input field |

**(ii) Other causes**

|  |  |  |
| --- | --- | --- |
| **B3a.7** | **Areas flooded externally in the year (other causes)** | **Nr.** |
| *Definition:* | The number of external areas affected by flooding incidents from equipment failures, blockages or collapses (collectively grouped as other causes). An area affected by more than one incident under this definition is reported as one area in this line. |
| *Processing Rules:* | Input field |
| **B3a.8** | **Number of external flooding incidents (other causes - equipment failure)** | **Nr.** |
| *Definition:* | The number of incidents of external flooding caused by the failure or incorrect operation of Local Authority apparatus (e.g. pumping stations, penstocks, wastewater system overflows, or real time control systems). |
| *Processing Rules:* | Input field |
| **B3a.9** | **Number of external flooding incidents (other causes - blockages)** | **Nr.** |
| *Definition:* | The number of incidents of external flooding caused by a complete or partial blockage of the wastewater system (including siltation) where the sewer itself is still intact. If the blockage is the result of a fracture or deformation of the pipe, it should be included in the ‘other causes – collapses’ category. |
| *Processing Rules:* | Input field |
| **B3a.10** | **Number of external flooding incidents (other causes - collapses)** | **Nr.** |
| *Definition:* | The number of incidents of external flooding caused by the collapse of a wastewater system. This line’s numerator should also include incidents due to fracture or deformation. |
| *Processing Rules:* | Input field |

BLOCK 2: POLLUTION INCIDENTS

|  |  |  |
| --- | --- | --- |
| **B3a.26** | **Number of pollution incidents** | **Nr.** |
| *Definition:* | The total number of pollution incidents (categories 1 to 3) in a calendar year emanating from a discharge or escape of a contaminant from a Local Authority wastewater asset.Category 1 – major, serious, persistent and/or extensive impact or effect on the environment, people and/or property Category 2 – significant impact or effect on the environment, people and/or propertyCategory 3 – minor or minimal impact or effect on the environment, people and/or property Category 4 – substantiated incident with no impact. We can provide examples of each type of incident, if useful. |
| *Processing Rules:* | Input field |
| **B3a.27** | **Serious pollution incidents** | **Nr.** |
| *Definition:* | The total number of serious pollution incidents (categories 1 and 2) in a calendar year emanating from a discharge or escape of a contaminant from a Local Authority wastewater asset per 10,000 km of sewer.Category 1 – major, serious, persistent and/or extensive impact or effect on the environment, people and/or property Category 2 – significant impact or effect on the environment, people and/or property.We can provide examples of each type of incident, if useful. |
| *Processing Rules:* | Input field |

TABLE B3b: STORMWATER FLOODING INSIDE A PROPERTY

Overall guidance

1. If the information is not available for the measure requested, Local Authorities should provide their best-informed guess based on the information available and reflect the uncertainty in selecting the appropriate confidence grade.
2. Using unplanned interruptions in Table B2 as an example, if the Local Authority has collected information which shows that 150 properties were restored within 8 hours then this would serve as a maximum for the number of properties restored within six hours in line B2.43. A Local Authority could therefore make an informed guess that 100 properties were restored within 6 hours and apply a confidence grade of D5 which would suggest that the reported performance is within +/-50% of the actual performance in the year. This would result in a maximum of 150 properties (100 + (100 \* 50%)) in line with the known properties restored within 8 hours.
3. For forecast performance in 2020/21, Local Authorities are suggested to provide an estimate based on historic performance (e.g. average performance over the previous 5 years).
4. This table relates to stormwater flooding of habitable floors (flooding inside a property). It deals with stormwater flooding which is the responsibility of the local authority and originates from public stormwater systems/land drainage.
5. Habitable floor flooding from wastewater systems is dealt with in Table B3. The guidance set out for Table B3 also apply to table B3b (except this section relates to stormwater).

BLOCK 1: ANNUAL FLOODING OF HABITABLE FLOORS – OVERLOADED STORMWATER SYSTEMS

|  |  |  |
| --- | --- | --- |
| **B3b.1** | **Number of properties with habitable floor(s) flooded in the year** | **Nr.** |
| *Definition:* | Number of properties affected by habitable floor flooding incidents due to overloading stormwater systems. This should include all such events, whether or not attributable to severe/extreme weather. The commentary should identify in tabular form the number of cases where the cause was severe weather, blockage, collapse or other. |
| *Processing Rules:* | Input field |

|  |  |  |
| --- | --- | --- |
| **B3b.2** | **Number of incidents of habitable floor flooding in the year** | **Nr.** |
| *Definition:* | Number of flooding incidents causing habitable floor flooding to properties due to overloading stormwater systems. An incident should be counted from each ‘source’ of flooding e.g. one manhole floods 3 properties = 1 incident, and not each reason for flooding where one event such as heavy rain causes a large number of flooding incidents. This should include all such events, whether or not attributable to severe/extreme weather.  |
| *Processing Rules:* | Input field |
| **B3b.3** | **Number of incidents of habitable floor flooding attributed to severe weather** | **Nr.** |
| *Definition:* | Number of flooding incidents to properties attributable to severe/extreme weather.  |
| *Processing Rules:* | Input field |

BLOCK 2: ANNUAL FLOODING OF HABITABLE FLOORS – OTHER CAUSES

|  |  |  |
| --- | --- | --- |
| **B3b.6** | **Number of properties with habitable floor(s) flooded in the year** | **Nr.** |
| *Definition:* | Number of properties affected by habitable floor flooding incidents due to other causes (this includes where due to blockages, stormwater system collapses, equipment failure and other causes than overloaded stormwater systems).  |
| *Processing Rules:* | Input field |
| **B3b.7** | **Number of incidents of habitable floor flooding due to equipment failure** | **Nr.** |
| *Definition:* | These are defined as incidents of habitable floor flooding to a property resulting from the failure or maloperation of Local Authority apparatus (such as pumping stations, flap valves, penstocks, combined sewer overflows, real time control systems). An incident should be counted from each ‘source’ of flooding e.g. one manhole floods 3 properties = 1 incident, and not each reason for flooding where one event such as pumping station failure causes a large number of flooding incidents. |
| *Processing Rules:* | Input field |

|  |  |  |
| --- | --- | --- |
| **B3b.8** | **Number of incidents of habitable floor flooding due to blockages** | **Nr.** |
| *Definition:* | These are defined as incidents of habitable floor flooding to a property resulting from a complete or partial blockage of the stormwater system (including siltation) where the stormwater system itself is still intact. If the blockage is the result of a fracture of deformation of the pipe, it should be in the next category. An incident should be counted from each ‘source’ of flooding e.g. one manhole floods 3 properties = 1 incident, and not each reason for flooding where one event causes a large number of flooding incidents. |
| *Processing Rules:* | Input field |
| **B3b.9** | **Number of incidents of habitable floor flooding due to stormwater system collapses** | **Nr.** |
| *Definition:* | For the purpose of this indicator these are defined as incidents of habitable floor flooding to a property resulting from a collapse of the stormwater system and include incidents due to fracture or deformation. An incident should be counted from each ‘source’ of flooding e.g. one manhole floods 3 properties = 1 incident, and not each reason for flooding where one event causes a large number of flooding incidents. |
| *Processing Rules:* | Input field |
| **B3b.10** | **Number of incidents of habitable floor flooding in the year** | **Nr.** |
| *Definition:* | Total number of flooding incidents in the year causing habitable floor flooding to properties due to other causes (this includes where due to blockages, stormwater system collapses, equipment failure and other causes than overloaded stormwater systems). An incident should be counted from each ‘source’ of flooding e.g. one manhole floods 3 properties = 1 incident, and not each reason for flooding where one event such as pumping station failure causes a large number of flooding incidents. This should include properties where a domestic cellar is the only part affected by the flooding. |
| *Processing Rules:* | Input field |

BLOCK 3: PROPERTIES ‘AT RISK’

(i) At risk summary

|  |  |  |
| --- | --- | --- |
| **B3b.22** | **2 in 10 at end of year** | **Nr.** |
| *Definition:* | Properties at risk of flooding twice or more in ten years. |
| *Processing Rules:* | Input field |
| **B3b.23** | **1 in 10 at end of year** | **Nr.** |
| *Definition:* | Number of properties at risk of flooding once in 10 years |
| *Processing Rules:* | Input field |
| **B3b.24** | **Total at risk** | **Nr.** |
| *Definition:* | Total number of properties at risk of flooding once or more in ten years. |
| *Processing Rules:* | Calculated field: Product of B3b.22 + B3b.23 |

TABLE B3c: STORMWATER FLOODING OUTSIDE OF THE CUSTOMER’S PROPERTY- I.E. EXTERNAL FLOODING-

Overall guidance

1. If the information is not available, Local Authorities should provide their best estimate for the measure requested and reflect the uncertainty in selecting the appropriate confidence grade.
2. This table covers stormwater flooding incidents outside of a property (e.g. garden, land, street or other public area).
3. Any incidents of stormwater flooding of habitable floors inside a property should be reported in Table B3b. Wastewater flooding incidents outside of a property should be reported in Table B3a.
4. For forecast performance in 2020/21, Local Authorities are suggested to provide an estimate based on historic performance (e.g. average performance over the previous 5 years).

BLOCK 1: ANNUAL EXTERNAL FLOODING SUMMARY

**(i) Overloaded stormwater systems**

|  |  |  |
| --- | --- | --- |
| **B3c.1** | **Areas flooded externally in the year (overloaded stormwater systems)** | **Nr.** |
| *Definition:* | Total number of areas affected by external flooding incidents in the year due to overloaded stormwater systems. This includes flooding in gardens, streets, land and other public areas. |
| *Processing Rules:* | Input field |
| **B3c.2** | **Curtilage flooding incidents (within a private land boundary) in the year (overloaded stormwater systems)** | **Nr.** |
| *Definition:* | The number of incidents of curtilages affected by external flooding in the year due to overloaded stormwater systems. Curtilage refers to the land within a private land boundary i.e. the enclosed space immediately surrounding a house or dwelling. |
| *Processing Rules:* | Input field |
| **B3c.3** | **Road corridor flooding incidents (overloaded stormwater systems)** | **Nr.** |
| *Definition:* | Total number of incidents of road corridors flooded in the year due to overloaded stormwater systems. This includes footpaths. |
| *Processing Rules:* | Input field |
| **B3c.4** | **Other flooding incidents (overloaded stormwater systems)** | **Nr.** |
| *Definition:* | Total number of incidents of other areas affected by external flooding in the year due to overloaded stormwater systems. Examples of other areas includes external flooding to non-residential buildings e.g. schools, offices, commercial premises and public buildings; public open space; agricultural land; car parks. |
| *Processing Rules:* | Input field |
| **B3c.5** | **Total number of external flooding incidents (overloaded stormwater systems)** | **Nr.** |
| *Definition:* | Total number of incidents of areas affected by external flooding in the year due to overloaded stormwater systems. This includes flooding in gardens, streets, land and other public areas. |
| *Processing Rules:* | Calculated field: SUM[B3c.2: B3c.4] |
| **B3c.6** | **Number of external flooding incidents (overloaded stormwater systems attributed to severe weather)** | **Nr.** |
| *Definition:* | The number of incidents of external flooding caused by overloaded stormwater systems at areas which are known to be not at risk of flooding more frequently than once in twenty years. Accordingly, this line’s enumeration includes flooding incidents caused by severe storms which affect areas that are not at risk of flooding more frequently than once in twenty years. The Local Authority should use the commentary to report the number of flooding incidents caused by severe weather at areas that are already known to be at risk of flooding from stormwater systems more frequently than once in twenty years. Incidents of flooding via the stormwater system caused by overflowing watercourses should be excluded. The Local Authority should include the rainfall return periods for the incidents reported in the commentary. |
| *Processing Rules:* | Input field |

**(i) Other causes**

|  |  |  |
| --- | --- | --- |
| **B3c.7** | **Areas flooded externally in the year (other causes)** | **Nr.** |
| *Definition:* | The number of external areas affected by flooding incidents from equipment failures, blockages or collapses (collectively grouped as other causes). An area affected by more than one incident under this definition is reported as one area in this line. |
| *Processing Rules:* | Input field |
| **B3c.8** | **Number of external flooding incidents (other causes - equipment failure)** | **Nr.** |
| *Definition:* | The number of incidents of external flooding caused by the failure or incorrect operation of Local Authority apparatus (e.g. pumping stations, penstocks, stormwater system overflows, or real time control systems). |
| *Processing Rules:* | Input field |
| **B3c.9** | **Number of external flooding incidents (other causes - blockages)** | **Nr.** |
| *Definition:* | The number of incidents of external flooding caused by a complete or partial blockage of the stormwater system (including siltation) where the stormwater system itself is still intact. If the blockage is the result of a fracture or deformation of the pipe, it should be included in the ‘other causes – collapses’ category. |
| *Processing Rules:* | Input field |
| **B3c.10** | **Number of external flooding incidents (other causes - collapses)** | **Nr.** |
| *Definition:* | The number of incidents of external flooding caused by the collapse of a stormwater system. This line’s enumerator should also include incidents due to fracture or deformation. |
| *Processing Rules:* | Input field |

BLOCK 2: POLLUTION INCIDENTS

|  |  |  |
| --- | --- | --- |
| **B3c.26** | **Number of pollution incidents** | **Nr.** |
| *Definition:* | The total number of pollution incidents (categories 1 to 3) in a calendar year emanating from a discharge or escape of a contaminant from a Local Authority stormwater asset.Category 1 – major, serious, persistent and/or extensive impact or effect on the environment, people and/or property Category 2 – significant impact or effect on the environment, people and/or propertyCategory 3 – minor or minimal impact or effect on the environment, people and/or property Category 4 – substantiated incident with no impact. We can provide examples of each type of incident, if useful. |
| *Processing Rules:* | Input field |
| **B3c.27** | **Serious pollution incidents** | **Nr.** |
| *Definition:* | The total number of serious pollution incidents (categories 1 and 2) in a calendar year emanating from a discharge or escape of a contaminant from a Local Authority stormwater asset per 10,000 km of stormwater system.Category 1 – major, serious, persistent and/or extensive impact or effect on the environment, people and/or property Category 2 – significant impact or effect on the environment, people and/or property.We can provide examples of each type of incident, if useful. |
| *Processing Rules:* | Input field |

TABLE B4: CUSTOMER CARE – ENQUIRIES (THREE WATERS)

Overall guidance

1. If the information is not available for the measure requested, Local Authorities should provide their best informed guess based on the information available and reflect the uncertainty in selecting the appropriate confidence grade.
2. Using unplanned interruptions in Table B2 as an example, if the Local Authority has collected information which shows that 150 properties were restored within 8 hours then this would serve as a maximum for the number of properties restored within six hours in line B2.43. A Local Authority could therefore make an informed guess that 100 properties were restored within 6 hours and apply a confidence grade of D5 which would suggest that the reported performance is within +/-50% of the actual performance in the year. This would result in a maximum of 150 properties (100 + (100 \* 50%)) in line with the known properties restored within 8 hours.
3. Tables B4, B5 and B6 collect customer care metrics for Three Waters services which are required for benchmarking of levels of service.
4. This table is specific to the Three Waters services. This table covers:

Billing / charging / metering enquiries

1. These lines cover the number of billing, charging and metering enquiries received during the report year and the time taken to respond to them.

Change of payment method enquiries

1. These lines cover the change of method of payment enquiries received during the report year and the time taken to respond to them.

Common definitions

1. **Response time**: This is the number of working days between receipt of a contact by the Local Authority up to and including the day of despatch of a response. For the purpose of this calculation, the day of receipt is counted as day zero and the next working day as day one.
2. Where billing contacts are not dealt with at the end of the period the Local Authority is to use one of the following methods:
* the contact is to be included in the total number of billing contacts received for the year in which it is received, and the response time is also to be included in that year's information although it may continue into the following year; or
* the contact is to be included in the total number of billing contacts received for the year in which it is dealt with and the response time is also to be included in that year's information although it may commence in the previous year.
1. Whichever method is adopted, care should be taken to ensure that undercounting or double counting does not occur and that the method used is consistently applied in subsequent years.
2. **Response**: This is defined as a response to a billing contact which does one or more of the following:
* Provides an explanation of the Local Authority’s relevant policy or procedure and indicates why, in the Local Authority 's opinion, no further action on the customers billing contact is required; or
* Results in requested action being taken on the customer’s account; or
* Informs the customer of when action on his/her account will be taken if action cannot be taken immediately, for example customer needs to obtain clearance from third party, such as a landlord.
1. **Holding reply**: This is defined as a response to a billing contact which advises the customer that the Local Authority will need to undertake additional research or other actions before being able to respond to the customer's contact. A holding reply should include a date by which investigations or further actions will be complete and by when the customer will receive a further communication from the Local Authority.

Guidance

1. Where the content or tone of written communication indicates an element of dissatisfaction, however mildly worded or unjustified, it should be classified as a complaint.
2. The Local Authority should provide a copy of any formal written procedures or guidance covering the allocation of customer contacts to customer care enquires or customer care complaints.
3. **Response time:** The number of working days between receipt of a billing contact and the despatch of a response is calculated as follows:

|  |  |  |
| --- | --- | --- |
| **TASK** | **DATE** | **NO. OF DAYS** |
| Contact received | Friday 24 February 2006 |  |
| Response despatched | Wednesday 1 March 2006 |  |
| Total Days | 24/25/26/27/28 February/1 March | **6** |
| Less day of receipt | 24 February | **1** |
| = |  | **5** |
| Less non-working days | 25/26 February | **2** |
| Response time (working days) |  | **3** |

1. The date of receipt of a contact is the date it arrives at the Local Authority, whether this is the usual inlet or not; it is not necessarily the date when it reaches a customer services section or the date when it is opened, both of which could be later than the date of arrival. Similarly, the date of despatch refers to the date a response is sent to the customer; it is not necessarily the date that it is printed or the date that the response leaves the customer services section, both of which could be earlier than the date of despatch.
2. Where billing contacts are not dealt with at the end of the period the Local Authority is to use one of the following methods:
* The contact is to be included in the total number of billing contacts received for the year in which it is received, and the response time is also to be included in that year's information although it may continue into the following year; or
* The contact is to be included in the total number of billing contacts received for the year in which it is dealt with and the response time is also to be included in that year's information although it may commence in the previous year.
1. Whichever method is adopted, care should be taken to ensure that undercounting or double counting does not occur and that the method used is consistently applied in subsequent years.
2. **Reporting billing contacts received about another undertaker's/responsible party’s policies and procedures:** Where the Local Authority bills on behalf of other undertakers/responsible parties, care should be taken about how billing contacts are reported. While most billing contacts relate to the bill as a whole there are occasions where the contact will relate solely to the part which is billed on behalf of another undertaker/responsible party.
3. Where the Local Authority, receives queries about the other undertakers’/responsible parties’ tariffs, policies and procedures, these should be included within the customer care enquiries totals.
4. Where the Local Authority is unable to answer requests, and therefore refer them to the other undertaker/responsible party, these should be excluded from the Local Authority 's reported customer care requests totals. Where the Local Authority advises the customer that the contact has been referred to the other undertaker/responsible party, the advisory letter/telephone call should not be included in the customer care enquiries totals. This will prevent double counting of the same contact.
5. **Reporting billing contacts received from other undertakers or agents:** Billing contacts referred to the Local Authority by another undertaker/responsible party, Local Authority, housing association or other agent should be included in the customer care enquiries totals of the Local Authority to which the billing contact is referred.
6. **Local Authority written billing contacts by telephone or by visit:** Where the Local Authority uses the telephone or makes a visit to respond to a written billing contact, then the date of the telephone call or visit will count as the date of response for customer care enquires purposes.
7. **Assumptions**: Any assumptions, including those which are made about the response times, for example to particular types of contacts, must clearly be stated in the commentary, together with the reasons for the assumptions. Similarly, if response times to billing contacts received by telephone are reported differently to billing contacts received in writing then this should be stated in the methodology section.

Lines B4.1 to B4.5: Response to billing / charging / metering enquiries

Aim

1. To identify the total number of billing, charging and metering enquiries received during the report year and time taken to respond to them.

Specific definitions

1. **Billing contact**: This covers any communication from a customer regarding a bill which requires a response or an action by the Local Authority. It does not constitute a written complaint, which should be reported under customer care complaints and does not include change of payment enquiries. Billing contacts can be received by telephone, in writing, by electronic transmission and by personal visit. For example, billing contacts include:
* **Notification of changes** - to address, name, bank details etc.;
* **Charges** - reasons for increases in charges queries about standing charges, queries about Rateable Values etc.;
* **Billing** - bills not received, bill amount incorrect, receipt of duplicate bill, receipt of two separate bills (for different amounts or services) etc.;
* **Metered accounts** - delay in cancelling unmeasured bill following transfer to measured tariff, query high consumption, query receipt of estimated bills etc.;
* **Debt recovery -** Final Notice incorrectly issued or not received, Summons incorrectly issued or not received, disconnection carried out despite payment of bill or agreed arrangement etc.;
* **New connections -** charges for rechargeable works, such as requisitions of new mains or connections, Infrastructure Charges etc.; and
* **Other** - property not occupied but still receiving bills, property not connected to mains water/wastewater but still receiving bills etc.

Lines B4.14 to B4.18: Change of payment method enquiries

Aim

1. To identify the total number of changes of payment method enquiries received during the report year and time taken to respond to them.

Specific definitions

1. Requests to change payment methods - to/from Direct Debit, Standing Order, instalments, budget schemes, payment cards etc.;

BLOCK 1: BILLING/CHARGING/METERING ENQUIRIES

|  |  |  |
| --- | --- | --- |
| **B4.1** | **Total number of enquiries** | **Nr.** |
| *Definition:* | The total number billing/charging/metering enquiries received. |
| *Processing Rules:* | Calculated field: SUM[B4.2; B4.5] |
| **B4.2** | **Number dealt with within 2 working days** | **Nr.** |
| *Definition:* | The number of billing/charging/metering enquiries dealt with within two working days. |
| *Processing Rules:* | Input field |
| **B4.3** | **Number dealt with in more than 2 but within 5 working days** | **Nr.** |
| *Definition:* | The number of billing/charging/metering enquiries dealt with in more than 2 but within 5 working days. |
| *Processing Rules:* | Input field |
| **B4.4** | **Number dealt with in more than 5 but within 10 working days** | **Nr.** |
| *Definition:* | The number of billing/charging/metering enquiries dealt with in more than 5 but within 10 working days. |
| *Processing Rules:* | Input field |
| **B4.5** | **Number dealt with in more than 10 working days** | **Nr.** |
| *Definition:* | The number of billing/charging/metering enquiries dealt with in more than 10 working days. |
| *Processing Rules:* | Input field |

BLOCK 2: CHANGE OF PAYMENT METHOD ENQUIRIES

|  |  |  |
| --- | --- | --- |
| **B4.14** | **Total number of enquiries** | **Nr.** |
| *Definition:* | The total number of changes of payment enquiries received. |
| *Processing Rules:* | Calculated field: SUM[B4.15; B4.18] |
| **B4.15** | **Number dealt with within 2 working days** | **Nr.** |
| *Definition:* | The number of change of payment enquiries dealt with within two working days. |
| *Processing Rules:* | Input field |

|  |  |  |
| --- | --- | --- |
| **B4.16** | **Number dealt with in more than 2 but within 5 working days** | **Nr.** |
| *Definition:* | The number of change of payment enquiries dealt with in more than 2 but within 5 working days |
| *Processing Rules:* | Input field |
| **B4.17** | **Number dealt with in more than 5 but within 10 working days** | **Nr.** |
| *Definition:* | The number of change of payment enquiries dealt with in more than 5 but within 10 working days. |
| *Processing Rules:* | Input field |
| **B4.18** | **Number dealt with in more than 10 working days** | **Nr.** |
| *Definition:* | The number of change of payment enquiries dealt with in more than 10 working days. |
| *Processing Rules:* | Input field |

TABLE B5: CUSTOMER CARE – CONTACTS AND COMPLAINTS (THREE WATERS)

Overall guidance

1. If the information is not available for the measure requested, Local Authorities should provide their best informed guess based on the information available and reflect the uncertainty in selecting the appropriate confidence grade.
2. Using unplanned interruptions in Table B2 as an example, if the Local Authority has collected information which shows that 150 properties were restored within 8 hours then this would serve as a maximum for the number of properties restored within six hours in line B2.43. A Local Authority could therefore make an informed guess that 100 properties were restored within 6 hours and apply a confidence grade of D5 which would suggest that the reported performance is within +/-50% of the actual performance in the year. This would result in a maximum of 150 properties (100 + (100 \* 50%)) in line with the known properties restored within 8 hours.
3. Tables B4, B5 and B6 collect customer care metrics for Three Waters services which are required for benchmarking of levels of service.
4. This table is specific to the Three Waters services. This table covers:

Written contacts and complaints

1. This covers the number of written contacts and complaints received during the report year and the time taken to respond to them.

Telephone contacts and complaints

1. This covers the number of telephone contacts and complaints where a written response is requested received during the report year and the time taken to respond to them.

Complaints by category

1. This covers the total number of contacts and complaints received during the report year by category by telephone or written contact.
2. Exclusions – The Local Authority can exclude from the reported figures those written contacts and complaints which are anonymous; about the activities of other undertakers/responsible parties; and not about the services or the functions of the Local Authority.

Lines B5.1 to B5.7: Response to written contacts and complaints

Aim

1. To identify the total number of written contacts and complaints received during the report year and time taken to respond to them.

Common definitions

1. **Written contacts and complaints**: This covers any written communication from a customer or alleging that an action or inaction of the Local Authority, or a service or lack of service provided by the Local Authority or agent/contractor has fallen below his/her expectation, even if written in mild and friendly terms. Written contacts and complaints include those made by letter, fax and electronic mail. For example, written contacts and complaints include those about:
* **Water supply** - adequacy, interruptions, restrictions, pressure levels etc.;
* **Water mains and pipes** - liability, connections, damage, reinstatement, flooding, leakage etc.;
* **Water quality** - discolouration, taste, odour etc.;
* **Wastewater and stormwater** - liability, connections, damage, flooding etc.;
* **Wastewater treatment and disposal** - noise/odour from plants, disposal routes etc.;
* **Construction and maintenance** - noise, nuisance, inconvenience caused by construction and maintenance work;
* **Charges** - billing errors, disputed liability, debt recovery, objections to standing charges, continuing use of Rateable Values, compulsory metering, level of charges etc.;
* **Meters** - cost, installation, positioning, reading, testing etc.;
* **Administration** - appointments, staff attitudes, poor advice, authority literature etc.
1. General statements of complaint are to be counted even though a standard type of reply may be sent. Customers may complain unfairly or unjustifiably; nevertheless, such a letter is a complaint. Some complaints may be frivolous or vexatious; nevertheless, these should be reported, although the Local Authority may take a contemporaneous decision that further correspondence on the same subject need not be reported.
2. This table excludes written contact or enquiries for a new request for service (e.g. a request for a connection or a new toby box).
3. Other exclusions include written complaints which are:
* Anonymous;
* About the activities of other undertakers/responsible parties or other utilities, for example signage around trenches;
* Not about the services or functions of the Local Authority, for example complaints about executive salaries, sponsorship activities and authority advertising campaigns;
* About non-appointed activities, such as plumbing services, consultancies etc; and
* About recreational and amenity activities, for example visitor centres at authority sites, water skiing, angling etc.
1. **Response time**: This is the number of working days between receipt of a query by the Local Authority up to and including the day of despatch of a response. For the purpose of this calculation, the day of receipt is counted as day zero and the next working day as day one. The despatch of a holding reply does not affect the total response time.
2. **Response**: This is defined as a response to a written complaint which does one or more of the following:
* Provides an explanation of the Local Authority 's relevant policy or procedure and indicates why, in the Local Authority’s opinion, no further action on the customers complaint is required; or
* Informs the customer that action to resolve the complaint has been taken and identifies when the action occurred, for example flushing of mains; or
* Informs the customer of when action to resolve his/her complaint will be taken if action cannot be taken immediately; for example, “programmed capital works are not scheduled to until month and year and should be completed by month and year”.
1. **Holding reply**: This is defined as a reply to a written complaint which advises the customer that the Local Authority need to undertake additional research before being able to respond to the customer’s complaint. A holding reply should include a date by which investigations or research will be complete and by which the customer will receive further communication from the Local Authority.

Guidance

1. **Response time**: The number of working days between receipt of a written complaint and the despatch of a response is calculated as follows:

|  |  |  |
| --- | --- | --- |
| **TASK** | **DATE** | **NO. OF DAYS** |
| Contact received | Friday 24 February 2006 |  |
| Response despatched | Wednesday 1 March 2006 |  |
| Total days | 24/25/26/27/28 February/1 March | **6** |
| Less day of receipt | 24 February | **1** |
| = |  | **5** |
| Less non-working days | 25/26 February | **2** |
| Response time (working days) |  | **3** |

1. The date of receipt is the date that the written complaint arrives at the Local Authority, whether or not this is the usual inlet. It is not therefore necessarily the date when it reaches a customer services section or the date when it is opened, both of which could be later than the date of arrival. Similarly, the date of despatch refers to the date a response is sent to the customer. It is not necessarily the date that the response is printed or the date that the response leaves the customer services section, both of which could be earlier than the date of despatch.
2. Where a complaint necessitates a period of correspondence each letter from the customer is to be counted as a complaint and recorded separately.
3. If after a period of correspondence, a contemporaneous recorded decision is made that the original complaint has been dealt with as far as the Local Authority is able any future correspondence regarding the complaint need not be reported. The number of such decisions must be recorded in the commentary.
4. Where written contacts and complaints are not dealt with at the end of the period, the Local Authority is to use one of the following methods:
* The complaint is to be included in the total number of contacts and complaints received for the year in which it is received, and the response time is also to be included in that year's information although it may continue into the following year; or
* The complaint is to be included in the total number of contacts and complaints received for the year in which it is dealt with and the response time is also to be included in that year's information although it may commence in the previous year.
1. Whichever method is adopted, care should be taken to ensure that undercounting or double counting does not occur and that the method used is consistently applied in subsequent years.
2. **Reporting written billing complaints received about another undertakers’/responsible parties’ policies and procedures**: Where the Local Authority bills on behalf of other undertakers/responsible parties, care should be taken about how written billing complaints are reported. While most billing complaints relate to the bill as a whole there are occasions where the complaint will relate solely to the part which is billed on behalf of another undertaker/responsible parties.
3. Where the Local Authority answers complaints about the other undertakers’/responsible parties’ tariffs, policies and procedures, these should be included within the Local Authority 's customer care complaints totals.
4. Where the Local Authority is unable to answer contacts and complaints, and therefore refer them to the other undertaker/responsible party, these should be excluded from the Local Authority 's reported customer care contacts and complaints totals. Where the Local Authority advises the customer that the complaint has been referred to the other undertaker/responsible party, the advisory letter or telephone call should not be included in the Local Authority 's customer care contacts and complaints totals. This will prevent double counting of the same contacts and complaints.
5. Reporting written complaints received from other undertakers/responsible parties or agents: Written complaints referred to the Local Authority by another undertaker/responsible party, local authority, housing association or other agent should be included in the customer care complaints totals of the Local Authority to which the complaint is referred.
6. **Answering written contacts and complaints by telephone or by visit:** Where the Local Authority uses the telephone or make a visit to respond to a written complaint, then the date of the telephone call or visit will count as the date of response for customer care complaints purposes.
7. **Reporting complaints to/about contractors**: Complaints to contractors or other agents about work being undertaken on behalf of the Local Authority must be reported under customer care complaints, even if the contractor or agent deals directly with the complaint.
8. Complaints about contractors or other agents must also be reported under customer care complaints, even if the complaint is referred to the contractor to resolve.
9. **Sampling**: Where the information for this indicator is derived from a sample basis the basis of sampling is to be varied and frequent enough to ensure that sampling is statistically representative of the total population.
10. **Assumptions**: Any assumptions, including those which are made about the response times, for example to particular types of written complaints, must be clearly stated in the methodology section.

Lines B5.16 to B5.22: Response to telephone contacts and complaints

Aim

1. To identify the total number of telephone complaints received during the report year and time taken to respond to them.

Common definitions

1. As for lines B5.1 to B5.7
2. This table excludes telephone contact or enquiries for a new request for service (e.g. a request for a connection or a new toby box).

BLOCK 1: NEW WRITTEN CONTACTS AND COMPLAINTS

|  |  |  |
| --- | --- | --- |
| **B5.1** | **Total number of new written contacts and complaints received** | **Nr.** |
| *Definition:* | Total number of new written complaints received by authority. ‘New’ in this context means that a new issue is raised. A new complaint should be counted even if the customer has an ‘ongoing’ complaint if in the correspondence any new issue is raised. Written complaints include those made by letter, fax and electronic mail.This line excludes written contact or enquiries for a new request for service (e.g. a request for a connection or a new toby box). |
| *Processing Rules:* | Calculated field: SUM[B5.4; B5.7] |
| **B5.2** | **Total number of written contact and complaint correspondence** | **Nr.** |
| *Definition:* | All items of written correspondence from a customer or customer representative regarding a new or ongoing complaint. This includes receipt of further information or completed claim forms etc. Written complaints include those made by letter, fax, and electronic mail.This line excludes written contact or enquiries for a new request for service (e.g. a request for a connection or a new toby box). |
| *Processing Rules:* | Input field |
| **B5.3** | **Number of items of correspondence/complaints** | **Nr.** |
| *Definition:* | Number of items of correspondence per complaint.This line excludes written contact or enquiries for a new request for service (e.g. a request for a connection or a new toby box). |
| *Processing Rules:* | Calculated field: B5.2/B5.1 |
| **B5.4** | **Number dealt with within 2 working days** | **Nr.** |
| *Definition:* | Number of written complaints dealt with within two working days.This line excludes written contact or enquiries for a new request for service (e.g. a request for a connection or a new toby box). |
| *Processing Rules:* | Input field |
| **B5.5** | **Number dealt with in more than 2 but within 5 working days** | **Nr.** |
| *Definition:* | Number of written complaints dealt with in more than two working days but within five working days.This line excludes written contact or enquiries for a new request for service (e.g. a request for a connection or a new toby box). |
| *Processing Rules:* | Input field |
| **B5.6** | **Number dealt with in more than 5 but within 10 working days** | **Nr.** |
| *Definition:* | Number of written complaints dealt with in more than five working days but within ten working days.This line excludes written contact or enquiries for a new request for service (e.g. a request for a connection or a new toby box). |
| *Processing Rules:* | Input field |
| **B5.7** | **Number dealt with in more than 10 working days** | **Nr.** |
| *Definition:* | Number of written complaints dealt with in more than ten working days.This line excludes written contact or enquiries for a new request for service (e.g. a request for a connection or a new toby box). |
| *Processing Rules:* | Input field |

BLOCK 2: NEW TELEPHONE CONTACTS AND COMPLAINTS

|  |  |  |
| --- | --- | --- |
| **B5.16** | **Total number of new telephone contacts and complaints received** | **Nr** |
| ***Definition:*** | All telephone complaints from a customer or a customer’s representatives even if in mild and friendly terms. ‘New’ in this context means that a new issue is raised. For example, a new complaint should be counted even if the customer has an ‘ongoing’ complaint if any new issue is raised.This line excludes telephone contact or enquiries for a new request for service (e.g. a request for a connection or a new toby box). |
| ***Processing Rules:*** | Calculated field: SUM[B5.19; B5.22] |
| **B5.17** | **Total number of telephone contacts** | **Nr** |
| ***Definition:*** | All telephone contacts from a customer or a customer’s representative regarding a new or ongoing complaint. This includes receipt of further information, chasing etc.This line excludes telephone contact or enquiries for a new request for service (e.g. a request for a connection or a new toby box). |
| ***Processing Rules:*** | Input field |
| **B5.18** | **Number of telephone contacts/complaints** | **Nr** |
| ***Definition:*** | Number of telephone contacts per complaint.This line excludes telephone contact or enquiries for a new request for service (e.g. a request for a connection or a new toby box). |
| ***Processing Rules:*** | Calculated field: B5.17/B5.16 |
| **B5.19** | **Number dealt with within 2 working days** | **Nr** |
| ***Definition:*** | Number of telephone complaints where a written response is requested dealt with within two working days.This line excludes telephone contact or enquiries for a new request for service (e.g. a request for a connection or a new toby box). |
| ***Processing Rules:*** | Input field |
| **B5.20** | **Number dealt with in more than 2 but within 5 working days** | **Nr** |
| ***Definition:*** | Number of telephone complaints where a written response is requested dealt with in more than two working days but within five working days.This line excludes telephone contact or enquiries for a new request for service (e.g. a request for a connection or a new toby box). |
| ***Processing Rules:*** | Input field |
| **B5.21** | **Number dealt with in more than 5 but within 10 working days** | **Nr** |
| ***Definition:*** | Number of telephone complaints where a written response is requested dealt with in more than five working days but within ten working days.This line excludes telephone contact or enquiries for a new request for service (e.g. a request for a connection or a new toby box). |
| ***Processing Rules:*** | Input field |
| **B5.22** | **Number dealt with in more than 10 working days** | **Nr** |
| ***Definition:*** | Number of telephone complaints where a written response is requested dealt with in more than ten working days.This line excludes telephone contact or enquiries for a new request for service (e.g. a request for a connection or a new toby box). |
| ***Processing Rules:*** | Input field |

TABLE B6: CUSTOMER CARE – OTHER (Three Waters)

Overall guidance

1. If the information is not available for the measure requested, Local Authorities should provide their best informed guess based on the information available and reflect the uncertainty in selecting the appropriate confidence grade.
2. Using unplanned interruptions in Table B2 as an example, if the Local Authority has collected information which shows that 150 properties were restored within 8 hours then this would serve as a maximum for the number of properties restored within six hours in line B2.43. A Local Authority could therefore make an informed guess that 100 properties were restored within 6 hours and apply a confidence grade of D5 which would suggest that the reported performance is within +/-50% of the actual performance in the year. This would result in a maximum of 150 properties (100 + (100 \* 50%)) in line with the known properties restored within 8 hours.
3. Tables B4, B5 and B6 collect customer care metrics for Three Waters services which are required for benchmarking of levels of service.
4. This table is specific to the Three Waters services. This table is concerned with the telephone contacts side of customer care not already dealt with in tables B1 to B5.

Lines B6.1 to B6.6: Telephone contact

Aim

1. The aim of the indicator is to identify the ease with which customers can make a telephone contact with the Local Authority.

Common definitions

1. **Exclusions**: The indicator is intended to monitor incoming telephone traffic which can be regarded as originating from the Local Authority’s customer base. For example, calls from contractors, suppliers, etc. would not normally be regarded as customer contact. For this reason, a number of categories of call may be excluded. These are:
* Calls to organisations acting as agents for the Local Authority, contractors and debt collection agencies are excluded from the measure, unless these represent a principal customer contact point with the Local Authority (e.g. a billing or customer services department operated by a sub-contractor);
* Calls to the direct lines of named individuals or specialist sections, except where the specialist section (such as Debt Recovery) specifically prints its Direct Dial numbers on the Local Authority letterhead; and
* Temporary customer contact points established to meet a specific need e.g. to handle calls about a localised water incident or promotion of an authority initiative. Temporary customer contact points are defined as those telephone numbers (separate from the principal advertised customer contact point) set up to deal with a single topic which will be closed down once the issue has been resolved. the Local Authority is, however, asked to use the commentary to identify the number and the duration that each temporary customer contact point was in place.
1. Calls in the above categories need not be excluded if, for example, the Local Authority has one telephone number that fulfils other purposes as well as customer contact.
2. **Local Authority agent:** A Local Authority agent is an employee of the Local Authority (operating from a principal advertised customer contact point). Where a principal advertised customer contact point has been sub-contracted, the Local Authority agent is the employee of the sub-contractor. For the avoidance of doubt, local authority wastewater agencies, contractors, debt collection agencies, etc. are not regarded as authority agents as they do not operate or operate from a principal advertised customer contact point.
3. **Office hours:** The indicator covers office hours only. Office hours are defined as the hours which the Local Authority’s principal advertised customer contact points are open. The expectation is that office hours for the Local Authority will be within the range of 8 am to 6 pm, Monday to Friday, but where the Local Authority’s office hours extend beyond those times then the extended hours are to be included in the Local Authority 's reported data. The relevant hours should be set out in the methodology statement (out of office hours information is collected is separate reporting requirements).

Guidance

1. **General:** If the Local Authority is currently unable to report against all or part of this indicator should state in the commentary when they consider they may be able to provide relevant data.
2. **Configuration of telephony**: The Local Authority is asked to describe in the methodology statement the number and configuration of incoming lines linked to principal advertised customer contact points; a schematic diagram should be inserted where this would be helpful.
3. **Total calls:** It is not the intention of the indicator to monitor all incoming telephone traffic only that which is directed to principal advertised customer contact points. For the purposes of the indicator, principal means the main contact point(s) which customers are encouraged/directed to phone to, for example, raise a query, request a service or report a problem
4. For the purposes of the indicator, advertised refers to those customer contact points which appear in telephone directories, newspaper advertisements, on authority literature or are specifically printed (rather than typed) onto authority letterheads but excludes those which are of a temporary nature established to handle a specific topic.
5. Examples of principal advertised customer contact points are
* Customer accounts;
* Customer service; or
* The main switchboard (if advertised as a customer contact point).
1. **Percentage of calls:** This reporting requirement is important as it provides a useful context in which to place the Local Authority’s data. Data based on sampling is acceptable provided that samples are statistically significant and appropriately allocated. Any sampling method should be described in the methodology.
2. **Calls received:** This is defined as the number of calls, which enter the Local Authority’s telephone system and receive a ringing tone. Calls that receive an engaged tone, are not to be counted as calls received; such calls will be collected within the All lines busy aspect of the indicator.
3. **Calls answered**: If the Local Authority uses recorded messages, answering machines, touch tone telephones or automatic transaction/interactive voice response systems, they should take particular care when reporting against this requirement.
* **Recorded messages - queuing**: It may be that the Local Authority employs a recorded message to advise customers that they are in a queue. Some recorded messages trip-in within a few seconds of the ringing tone being heard by the customer while others are activated later. For the purposes of the indicator the time to answer the call is taken from the time that the customer would hear the first ringing tone to the time that the Local Authority agent answers the call, not from or to the time customers hear the recorded message. If customers hang up during or after hearing the recorded message advising them that they are in a queue or before the Local Authority agent answers the call, then such calls are to be reported as abandoned.
* **Recorded messages - message manager**: During localised incidents, such as burst mains or boil water notices, the Local Authority may use a recorded message, e.g. via a 'message manager' system, to relay information to customers. In such circumstances each call to the recorded message is to be counted as Calls answered. Some systems cannot identify between those calls, which are answered by a 'message manager' system and those which are abandoned. For the purpose of this requirement the Local Authority may assume that calls entering the 'message manager' system are answered once the customer has reached the salient part of the message. For example, the 'message manager' systems trips in after 20 seconds with salient part of message reached after a further 20 seconds. Calls recorded within the system as abandoned after 40 seconds should be reported as Calls answered. Calls abandoned before 40 seconds would be classed as Calls abandoned.
* **Answering machines**: If the Local Authority uses an answering machine during busy periods and asks customers to leave their name, telephone number and reference numbers such calls are to be classed as Calls answered. The response time for calls to answering machines is to be taken from the customer first hearing the ringing tone to the completion of the Local Authority’s recorded message. The Local Authority should state in the methodology their policy for responding to customer messages left on answering machines. For example, the Local Authority may have indicated that they return most calls within two hours and all calls within half a working day. If customers hang up before completion of the full recorded message, then such calls are to be reported as Calls abandoned.
* **Touch tone telephones**: The Local Authority may employ a system which asks customers with touch tone telephones to press specified buttons to access specific authority departments/sections. As with recorded messages the time to answer the call is taken from the time that the customer would hear the first ringing tone to the time that the Local Authority agent answers the call, not to or from the time the recorded message is completed nor to or from the time the customer completes the action of pressing appropriate buttons. If customers hang up during or after hearing the message but before pressing appropriate buttons, then such calls are to be reported as Calls abandoned.
* **Automatic transactions/interactive voice response**: The Local Authority may operate 'automatic transaction' or 'interactive voice response' systems e.g. where a customer provides a meter reading over the telephone to what is essentially an answering machine. Calls to these numbers should be classed as Calls answered with response times taken from the time that the customer would hear the first ringing tone to the time that the completion of the message inviting customers to leave details.
1. If customers hang up before completion of the message inviting them to leave, for example, a meter reading, then such calls are to be reported as Calls abandoned.
* **Time bands**: The Local Authority may be able to measure speed of response in five second blocks, others in 10 second blocks while a few are restricted to 15 second blocks. If the Local Authority is unable to provide directly information on calls answered within each of the required time bands may interpolate using an appropriate method. Details must be given in the methodology statement.

BLOCK 1: TELEPHONE CONTACTS

|  |  |  |
| --- | --- | --- |
| **B6.1** | **Total calls received on customer contact lines** | **Nr.** |
| *Definition:* | This covers all telephone calls to principal advertised customer contact points which can be logged by authority monitoring equipment. This refers to ‘office hours’ only. Calls received is defined as the number of calls which enter the Local Authority’s telephone system and receive a ringing tone. Calls which receive an engaged tone are to be excluded from this line but will be reflected in line B6.8.The Local Authority should identify in the commentary the telephone numbers and locations against which they are reporting. |
| *Processing Rules:* | Input field |
| **B6.2** | **Total calls received on customer contact lines as a % of all calls received** | **%**  |
| *Definition:* | This category is defined as the proportion of calls to advertised customer contact points as a percentage of all calls received by the Local Authority. This refers to ‘office hours’ only. This data will be used in assessing information quality; it is not intended to be published in any publication. |
| *Processing Rules:* | Input field |
| **B6.3** | **Total calls answered on customer contact lines** | **Nr.** |
| *Definition:* | The total number of telephone calls received on principal advertised customer contact lines which are answered by authority agents. This refers to ‘office hours’ only. |
| *Processing Rules:* | Input field |
| **B6.4** | **Total calls answered within 15 seconds on customer contact lines** | **Nr.** |
| *Definition:* | Total calls answered by a Local Authority agent on principal advertised customer contact lines within 15 seconds of the customer first hearing the ringing tone. This refers to ‘office hours’ only. |
| *Processing Rules:* | Input field |
| **B6.5** | **Total calls answered within 15-30 seconds on customer contact lines** | **Nr.** |
| *Definition:* | Calls answered by a Local Authority agent on principal advertised customer contact lines within 15-30 seconds of the customer first hearing the ringing tone. This refers to ‘office hours’ only. |
| *Processing Rules:* | Input field |
| **B6.6** | **Total calls answered in more than 30 seconds on customer contact lines** | **Nr.** |
| *Definition:* | Calls answered by a Local Authority agent on principal advertised customer contact lines in more than 30 seconds of the customer first hearing the ringing tone. This refers to ‘office hours’ only. |
| *Processing Rules:* | Input field |

TABLE B8: OTHER SERVICE INDICATORS – WATER, WASTEWATER AND STORMWATER

Overall guidance

1. If the information is not available for the measure requested, Local Authorities should provide their best-informed guess based on the information available and reflect the uncertainty in selecting the appropriate confidence grade.
2. Using unplanned interruptions in Table B2 as an example, if the Local Authority has collected information which shows that 150 properties were restored within 8 hours then this would serve as a maximum for the number of properties restored within six hours in line B2.43. A Local Authority could therefore make an informed guess that 100 properties were restored within 6 hours and apply a confidence grade of D5 which would suggest that the reported performance is within +/-50% of the actual performance in the year. This would result in a maximum of 150 properties (100 + (100 \* 50%)) in line with the known properties restored within 8 hours.
3. This table covers the following serviceability indicators:
* Water distribution indicator
* Wastewater service indicators
* Stormwater service indicators
* Performance of wastewater and stormwater assets

Lines B8.1: Mains bursts

1. The Local Authority should comment on the proportion of bursts found by proactive methods, such as active leakage control.
2. Mains bursts is captured through repair work. Mains bursts include all physical repair work to mains from which water is lost which is attributable to pipes, fittings or joint material failures or movement, or caused or deemed to be caused by conditions or original pipe laying or subsequent changes in ground conditions.
3. Mains bursts shall include all repair work undertaken on the water mains (i.e. all pipes conveying treated water around the distribution point but not including communication pipes or supply pipes).
4. Once the main is recharged, and customers are back in supply, then if there is a new incident it is counted as a separate repair. If there is a secondary burst not at the point at where the repair took place during the recharge, then it should be captured as a separate reported burst.
5. Mains bursts excludes any work which does not involve a repair on the main – e.g. solely on a ferrule, hydrant, valve and clamp associated with the ancillary.
6. For the avoidance of doubt, all leakage occurring at locations or through joint or materials failures which would have been designed for the life of the main (irrespective of whether earlier failure occurs) should be regarded as mains bursts. Failure of consumable or maintainable items (valve packings etc.) should be excluded.

Lines B8.10 to B8.19: Wastewater service indicators

1. This table covers wastewater service and performance indicators.
2. This table also splits out repairs to sewer collapses into rising main and gravity sewer repairs. Rising mains are pipes that carry wastewater by pumping under pressure or under suction (for example where wastewater is moved under vacuum) from a powered asset (for example a pumping station).
3. Equipment failures: The Local Authority should collate its data under hierarchical and process headings to facilitate reporting to a changed definition. For example, pumping station failure, a subset of all equipment failures should be collated separately.
4. The Local Authority should comment on:
* Where there is a difference between the total number intermittent discharges given for the report year and for the previous year, and this difference cannot wholly be accounted for by improvement works i.e. capital schemes (e.g. where the change is partly or completely due to better information), then a breakdown detailing how the difference is made up should be given;
* The Local Authority is expected to comment on significant year on year changes in their reported figures. The Local Authority should also record the location, date and time of gravity sewer collapses, rising main breaks, blockages and equipment failures with a view to this information being used for spatial analysis and an update of their underground asset management plan.
* The Local Authority should state what historical data it has on sewer blockages and indicate whether it will be able to provide data suitable for trend analysis. If the Local Authority is content to provide this in this Request for Information then it should do so, otherwise it should say when sufficiently reliable data could be made available.
* The Local Authority should clearly explain what it is reporting as ‘equipment failure’.
* The Local Authority should explain in its commentary what kind of repairs it includes and what it excludes, on each line together with as much detail as they have to quantify this.
* The Local Authority should include in the table blockages and sewer collapses on sewer laterals but state these numbers in the commentary.

BLOCK 1: WATER SERVICE – DISTRIBUTION

|  |  |  |
| --- | --- | --- |
| **B8.1** | **Mains bursts per 10km** | **Nr.** |
| *Definition:* | Mains bursts is captured through repair work. Mains bursts include all physical repair work to mains from which water is lost which is attributable to pipes, fittings or joint material failures or movement, or caused or deemed to be caused by conditions or original pipe laying or subsequent changes in ground conditions.Mains bursts shall include all repair work undertaken on the water mains (i.e. all pipes conveying treated water around the distribution point but not including communication pipes or supply pipes).Once the main is recharged, and customers are back in supply, then if there is a new incident it is counted as a separate repair. If there is a secondary burst not at the point at where the repair took place during the recharge, then it should be captured as a separate reported burst.Mains bursts excludes any work which does not involve a repair on the main – e.g. solely on a ferrule, hydrant, valve and clamp associated with the ancillary. For the avoidance of doubt, all leakage occurring at locations or through joint or materials failures which would have been designed for the life of the main (irrespective of whether earlier failure occurs) should be regarded as mains bursts. Also include incidents of over pressure or pressure cycling, and surge failures etc. which reflect the system operating conditions, even where these failures are accidental rather than associated with weaknesses in pipe condition. Failure of consumable or maintainable items (valve packings etc.) should be excluded. All third-party damage should be excluded where costs are potentially (rather than actually) recovered from a third party. If these incidents are significant, they should be reported in the commentaries. |
| *Processing Rules:* | Input field |

BLOCK 2: WASTEWATER SERVICE

|  |  |  |
| --- | --- | --- |
| **B8.10** | **Total number of sewer collapses** | **Nr.** |
| *Definition:* | Total number of sewer collapses. Include bursts to rising mains, even where failures are accidental rather than weakness in pipe condition. All third-party damage should be excluded where costs are potentially (rather than actually) recovered from a third party. If the incidents are significant, they should be reported in the commentaries. This covers wastewater or combined sewers. |
| *Processing Rules:* | Input field |
| **B8.11** | **Sewer collapses per 10 km** | **Nr.** |
| *Definition:* | Number of sewer collapses per ten kilometers of all sewers. Include bursts to rising mains, even where failures are accidental rather than weakness in pipe condition. All third-party damage should be excluded where costs are potentially (rather than actually) recovered from a third party. If the incidents are significant, they should be reported in the commentaries. This covers wastewater or combined sewers. |
| *Processing Rules:* | Input field |
| **B8.12** | **Number of unsatisfactory intermittent discharges** | **Nr.** |
| *Definition:* | The number of unsatisfactory intermittent discharges on the wastewater system at the end of the report year. |
| *Processing Rules:* | Input field |
| **B8.13** | **Number of intermittent discharges** | **Nr.** |
| *Definition:* | The total number of intermittent discharges on the wastewater system. These should include combined sewer overflows, emergency overflows at pumping stations at inlets to plants and storm tank discharges. |
| *Processing Rules:* | Input field |
| **B8.14** | **Percentage of unsatisfactory intermittent discharges** | **%**  |
| *Definition:* | The percentage of unsatisfactory combined sewer overflows (i.e. non-compliant outflows based on the discharge consent).  |
| *Processing Rules:* | Calculated field: B8.12/B8.13 |
| **B8.15** | **Total number of blockages** | **Nr.** |
| *Definition:* | Number of sewer blockages cleared. |
| *Processing Rules:* | Input field |
| **B8.16** | **Blockages per 10km** | **Nr.** |
| *Definition:* | Number of sewer blockage events that required clearing per ten kilometers of all sewers. |
| *Processing Rules:* | Input field |
| **B8.17** | **Total number of rising main failures** | **Nr.** |
| *Definition:* | Number of repairs to rising main pipe breaks. |
| *Processing Rules:* | Input field |

|  |  |  |
| --- | --- | --- |
| **B8.18** | **Total number of gravity sewer collapses** | **Nr.** |
| *Definition:* | Number of repairs to gravity sewer collapses. |
| *Processing Rules:* | Input field |
| **B8.19** | **Total number of equipment failures repaired** | **Nr.** |
| *Definition:* | The total number of wastewater equipment failures. Include failures of pumping stations and combined sewer overflows and ancillary devices such as nonreturn (flap) valves, penstocks, flow controls, storage tanks and real time control systems |
| *Processing Rules:* | Input field |

BLOCK 3: STORMWATER SERVICE

|  |  |  |
| --- | --- | --- |
| **B8.20** | **Total number of stormwater sewer collapses** | **Nr.** |
| *Definition:* | Total number of stormwater sewer collapses. This covers stormwater-only sewers. Include bursts to rising mains, even where failures are accidental rather than weakness in pipe condition. All third-party damage should be excluded where costs are potentially (rather than actually) recovered from a third party. If the incidents are significant, they should be reported in the commentaries.  |
| *Processing Rules:* | Input field |
| **B8.21** | **Stormwater sewer collapses per 10 km** | **Nr.** |
| *Definition:* | Number of stormwater sewer collapses per ten kilometers of all sewers. This covers stormwater-only sewers. Include bursts to rising mains, even where failures are accidental rather than weakness in pipe condition. All third-party damage should be excluded where costs are potentially (rather than actually) recovered from a third party. If the incidents are significant, they should be reported in the commentaries. This covers stormwater-only sewers. |
| *Processing Rules:* | Input field |
| **B8.22** | **Number of unsatisfactory intermittent discharges** | **Nr.** |
| *Definition:* | The number of unsatisfactory intermittent discharges on the stormwater system at the end of the report year. |
| *Processing Rules:* | Input field |
| **B8.23** | **Number of intermittent discharges** | **Nr.** |
| *Definition:* | The total number of intermittent discharges on the stormwater system. These should include stormwater-only sewer overflows, emergency overflows at pumping stations, storm overflows at inlets to plants and storm tank discharges.  |
| *Processing Rules:* | Input field |
| **B8.24** | **Percentage of unsatisfactory intermittent discharges** | **%**  |
| *Definition:* | The percentage of unsatisfactory stormwater-only sewer overflows (i.e. non-compliant outflows based on the discharge consent).  |
| *Processing Rules:* | Calculated field: B8.22/B8.23 |

BLOCK 4: PERFORMANCE OF WASTEWATER AND STORMWATER ASSETS

|  |  |  |
| --- | --- | --- |
| **B8.38** | **Discharge permit compliance** | **%** |
| *Definition:* | Performance of wastewater and stormwater assets to treat and dispose of wastewater and stormwater in line with the discharge permit conditions imposed on wastewater treatment plants.This is calculated as:(B-A)/B \* 100 where: A is No. of sites where one or more discharges confirmed failing in calendar year; and B is No. of discharges during the year (in force). |
| *Processing Rules:* | Input field |
| **B8.39** | **Total number of non-compliant wastewater treatment plants failing to comply with any of the specified parameters in the license** | **Nr.** |
| *Definition:* | This measure reflects the number of non-compliant wastewater treatment plants failing to comply with any of the specified parameters in the licenses for wastewater treatment plants. |
| *Processing Rules:* | Input field |
| **B8.40** | **Water environmental pollution incidents (category 1 and 2)** | **Nr.** |
| *Definition:* | This relates to Category 1 and 2 pollution incidents resulting from water treatment and water distribution activities. Category 1 and 2 incidents are major and significant water pollution incidents respectively. In total, there are 4 categories of Environmental Pollution Incidents - but Category 3 (minor incidents) and Category 4 (incidents where no pollution was identified) are not used in this measure. |
| *Processing Rules:* | Input field |