



 Appendices



Appendix I

Key Performance Indicators

Effective Competition			
Metric (KPI's)	Details of what is being measured	Annual targets for 2019-20	Actual
Offshore transmission processing	Licence grants within 70 days of commencement of Section 8A ⁵ consultations	70 days	43 days
Offshore transmission processing	Preferred Bidder selection within 120 days of the "Invitation to Tender" submission (excluding "Best" and "Final" offer)	120 days	165 days ²²
Licence applications	Make decisions on Licence Applications within 45 days	100%	100% ²³
Code modifications	Made code modification decisions within 25 days (or three months, if "minded to" consultation / impact assessment is needed)	90%	41% ²⁴
Customer contacts	Time taken for first response to customer contacts	80% - 10 working days	55% ²⁵
Whistle-blowers	Time taken for first response to whistle-blower contacts	100% - 1 working day to receive initial engagement	98.4%

Key performance indicators for our environmental and social schemes are set with the Department for Business, Energy and Industrial Strategy and the Northern Ireland Department for the Economy, for whom they are delivered. Every year, Ofgem commits to upholding specific service levels for the GB Domestic and Non-Domestic RHI, Feed-In-Tariffs, Renewables Obligation, Energy Company Obligation and Warm Home Discount schemes. Results against these for 2020-21 are set out below.

²² Delays were incurred due to COVID-19 related issues.

²³ The specified time periods vary for different application types and are published in the guidance for gas and electricity licence applications - time periods may be extended by Ofgem once when justified by the complexity of the issue.

²⁴ This figure is a result of a number of factors including competing priorities within Ofgem, for example, work to respond to COVID-19, on Significant Code Reviews, and a number of complex decisions that required additional time. From April 2021 we are trialling a new approach to issuing code modification decisions, where we will aim to provide an expected decision date for each modification submitted to us for decision. The expected decision date will be based on the importance, urgency and impact of the modification, whilst we will also take into account our strategic priorities.

²⁵ This result is due to a number of factors: the impact of the COVID-19 crisis; an increase in contact from consumers experiencing vulnerable circumstances; and an increase in the number of consumers affected by Ofgem's Supplier of Last Resort process.



Environmental and Social Scheme KPIs			
Metric (KPI's)	Details of what is being measured	Annual targets for 2020-21	Actual
Domestic Renewable Heat Incentive (DRHI)	Responding to enquiries within 10 working days	80%	99%
Non domestic RHI	Responding to enquiries within 10 working days	80%	96%
Renewable Obligation	Responding to enquiries within 10 working days	80%	98%
Feed in Tariffs (FIT)	Responding to enquiries within 10 working days	80%	99%
Energy Company Obligation (ECO)	Responding to enquiries within 10 working days	80%	63%
Warm Home Discount	Responding to enquiries within 10 working days	80%	86%
Warm Home Discount	Responding to obligated party submitted Warm Homes Discount	100%	100%
DRHI	Maintaining system availability during business hours	99%	99%
Non domestic RHI	Maintaining system availability during business hours	99%	98%
RO	Maintaining system availability during business hours	99%	98%
FIT	Maintaining system availability during business hours	99%	99%
ECO	Maintaining system availability during business hours	99%	98%
DRHI	Making payments within 30 working days	95%	98%
Non domestic RHI	Making payments within 40 working days	90%	95%
Northern Ireland non domestic RHI	Making payments within 40 working days	95%	91%
RO	Issuing the main batch of Renewables Obligations Certificates following the generators' output data reporting deadline, within 17 working days (Apr-Jun) and 12 working days (Jul-Mar)	95%	98%
FIT	Completing the "levelisation" process within 22 working days	100%	100%
ECO	Processing the measures submitted in one calendar month by the end of the following month	100%	95%

The value of payments made in error during 2020-21 under the GB Renewable Heat Incentive Schemes is estimated at £16.6million which is also disclosed in the 2020-21 BEIS annual report and accounts.



Appendix II - Investigations and Enforcement Action 2020-21

Details of our cases are available on our website²⁶ in accordance with our policy as set out in our Enforcement Guidelines²⁷. We will usually publish brief details of the facts and nature of the investigations on our website²⁸, although policy is different for cases relating to REMIT²⁹. In the table below, you can find details of the formal investigations that we have completed this year. In investigations where we secured redress, the companies made payments either directly to consumers and/or to programmes and funds that would benefit them.³⁰

Company	Issue	Decision	Date of decision
Utilita	Investigation into Utilita and its compliance with its obligations under Standard Licence Condition SLC 28A (pre-payment charge restriction).	Alternative action taken. No formal finding of breach. Utilita offered a package of redress of approximately £500,000, comprising of: £10 goodwill payments to all existing overcharged customers (increased to £15 if the customer is on the Priority Services Register); A £140 payment to the approximately 900 existing impacted customers who had applied for the Warm Home Discount (WHD) but were unsuccessful and an additional payment of £45,000 to be paid into the Voluntary Redress Fund.	October 2020
SSE Generation Ltd	Investigation into SSE Generation Limited breaching Article 4 of REMIT.	Case closed, formal finding of breach. SSE admitted the breach of Article 4 of REMIT and agreed to settle during the early settlement window. Financial penalty of £2,060,000 imposed on SSE in respect of its contraventions of Article 4(1).	September 2020
National Grid Electric Systems Operator (ESO)	Investigation into 9 August 2019 power outage.	Case closed, no formal finding of breach. We reviewed this investigation and given that security standards are to be amended, we concluded that there is no merit in continuing the investigation at this point in time.	June 2020
Intergen	Investigation into whether Intergen breached Article 5 of REMIT and SLC 5.1, which requires compliance with the Grid Code.	Case closed, formal finding of breach. We imposed a financial penalty of £24 million in respect of the contraventions of Article 5. In addition, the Authority agreed with InterGen that it will return approximately £12.8 million to those parties affected by the REMIT breach. We decided not to impose a separate financial penalty for the SLC 5.1. This comes to total of approximately £37.8 million.	April 2020

²⁶ <https://www.ofgem.gov.uk/investigations>

²⁷ https://www.ofgem.gov.uk/system/files/docs/2017/10/enforcement_guidelines_october_2017.pdf

²⁸ The fact that we have opened an investigation does not imply that the companies involved have breached licence conditions or other obligations.

²⁹ Our Remit Procedural Guidelines can be found at: <https://www.ofgem.gov.uk/publications-and-updates/consultation-decision-remit-penalties-statement-andprocedural-Guidelines>



Company	Issue	Decision	Date of decision
Ovo Energy	Investigation into Ovo's compliance with Standard Licence Conditions 31A (provision of information on annual statements) and 25C (SLC 0 from October 2017, Standards of Conduct), SLC 22C, SLC 26 (Priority Services Register), SLC 27 (provision of final bills) and SLC 28A (pre-payment charge restriction).	Case closed, formal finding of breach. We imposed a financial penalty of £1 on Ovo Electricity Limited and £1 on Ovo Gas Limited. This is in addition to £8,876,500 (less £2) that Ovo has agreed to pay in voluntary redress.	April 2020

In the table below, you can find details of redress that Ofgem has secured through alternative action or compliance work. This gives a company a chance to swiftly put things right for consumers without us exercising our statutory enforcement powers.

Company	Issue	Decision	Date of decision
British Gas	Compliance with the price protection rules which protect customers' tariff prices when they switch suppliers or tariffs after a price increase. British Gas' non compliance resulted in customers being overcharged.	Alternative action, no formal finding of breach. Total redress package of £1,269,095.47. This is comprised of £391,176.79 refunded directly the customer and £840,517.38 paid as goodwill payments to customers and £37,401.30 paid to the voluntary redress fund.	March 2021
EON	Compliance with the price protection rules which protect customers' tariff prices when they switch suppliers or tariffs after a price increase. EON's non compliance resulted in customers being overcharged.	Alternative action, no formal finding of breach. Total redress package of £238,884.29. This is comprised of £181,668.29 refunded directly the customer and £ 57,216 paid as goodwill payments to customers.	March 2021
EDF Energy	Compliance with the price protection rules which protect customers' tariff prices when they switch suppliers or tariffs after a price increase. EDF Energy's non compliance resulted in customers being overcharged.	Alternative action, no formal finding of breach. Total redress package of £516,191.55. This is comprised of £465,441.36 refunded directly the customer and £50,750.19 paid as goodwill payments to customers.	March 2021
Green Star Energy	Compliance with the price protection rules which protect customers' tariff prices when they switch suppliers or tariffs after a price increase. Green Star Energy non compliance resulted in customers being overcharged.	Alternative action, no formal finding of breach. Total redress package of £808,351.00. This is comprised of £664,661 refunded directly the customer and £143,690 paid as goodwill payments to customers.	March 2021
Octopus Energy	Compliance with the price protection rules which protect customers' tariff prices when they switch suppliers or tariffs after a price increase. Octopus Energy's non compliance resulted in customers being overcharged.	Alternative action, no formal finding of breach. Total redress package of £121,444.52. This is comprised of £59,902.15 refunded directly the customer and £61,542.37 paid as goodwill payments to customers.	March 2021
OVO Energy	Compliance with the price protection rules which protect customers' tariff prices when they switch suppliers or tariffs after a price increase. Ovo's non compliance resulted in customers being overcharged.	Alternative action, no formal finding of breach. Total redress package of £2,801,231.51. This is comprised of £2,001,196.45 refunded directly the customer and £579,145.28 paid as goodwill payments to customers and £220,889.78 paid to the Voluntary Redress Fund.	March 2021



Company	Issue	Decision	Date of decision
Scottish Power	Compliance with the price protection rules which protect customers' tariff prices when they switch suppliers or tariffs after a price increase. Scottish Power's non compliance resulted in customers being overcharged.	Alternative action, no formal finding of breach. Total redress package of £1,967,465.28. This is comprised of £1,449,835.28 refunded directly the customer and £49,415 paid as goodwill payments to customers and £468,215 paid to the Voluntary Redress Fund.	March 2021
Shell Energy	Compliance with the price protection rules which protect customers' tariff prices when they switch suppliers or tariffs after a price increase. Shell Energy's non compliance resulted in customers being overcharged.	Alternative action, no formal finding of breach. Total redress package of £1,217,203.40. This is comprised of £1,001,203.40 refunded directly the customer, £112,461 paid as goodwill payments to customers and £103,539 paid to the Voluntary Redress Fund.	March 2021
SSE Energy	Compliance with the price protection rules which protect customers' tariff prices when they switch suppliers or tariffs after a price increase. SSE Energy's non compliance resulted in customers being overcharged.	Alternative action, no formal finding of breach. Total redress package of £983,334.45. This is comprised of £713,973.86 refunded directly the customer, £ 249,777.22 paid as goodwill payments to customers and £19,583.37 paid to the Voluntary Redress Fund.	March 2021
Shell Energy	Issues identified as formerly Green Star Energy which they self-reported. The issues were in relation to failure to send renewal letters, Warm Home Discount customers not on Safeguard tariff, delay notifying Pre Payment Meter customers of price change and customers placed on wrong tariff at renewal.	Alternative action taken. Green Star self reported errors. Total redress package of £384,572.87. This is comprised of £226,544.87 of refunds to customer and £158,025 of goodwill payments.	January 2021
EDF Energy	EDF Energy Thermal Generation (EDF ETG) submitted technical data that did not correctly reflect the true capabilities of its generation plant nor the amount of energy it could supply. EDF ETG inadvertently breached its licence obligations to comply with the Grid Code and REMIT regulations prohibiting market manipulation.	Alternative action taken. EDF ETG admitted that an inadvertent breach of the Grid Code and Article 5 of REMIT occurred and has taken swift action to prevent any reoccurrence. We concluded that there was no merit in opening a formal investigation. This is owing to the company's admissions, the steps it has taken to prevent any future reoccurrence and its agreement to pay £6 million into Ofgem's voluntary redress fund.	December 2020
Shell Energy	Issue identified as formerly Green Star Energy which they self-reported. Green Star Energy had not reviewed direct debit payments for some customers, affecting both Live and Lost supply customers. These customers had a 13 month or more gap in their DD reassessment schedule.	Alternative action, no formal finding of breach. Shell Energy refunded £351,941.40 to customers, paid £44,144.31 in goodwill payments and £24,072.69 paid to the voluntary redress fund. Total redress package of £420,158.40.	December 2020

Company	Issue	Decision	Date of decision
Shell Energy	Failure to provide annual statements and associated credits to prepayment meter customers.	Alternative action, no formal finding of breach. Shell Energy refunded £39,184.71 to customers, paid £46,920 in Guaranteed Standard of Performance payments and £14,700 paid to the voluntary redress fund. Total redress package of £100,804.71	December 2020
I-Supply	Under standard licence condition (SLC) 14 of the supply licence, suppliers can only prevent customers from switching for money owed if the amount has been billed at least 28 days before the switching request. Between 2012 and early 2020, a system error objected to any customer transfer if the customer had an outstanding debt balance of £40 or over owed to iSupply. As a result, 22,863 customers were blocked and impacted with an invalid objection.	Alternative action, no formal finding of breach, I-supply paid direct customer refunds totalling £406,224.81 (£21.65 average per customer); customer goodwill payments totalling £114,315. This is a total redress package of £520,539.81 and any residual monies where customers cannot be contacted or do not cash cheques will go into the voluntary redress fund.	October 2020
Robin Hood Energy (RHE)	Direct Debit (DD) adequacy reviews not processed in accordance with SLC 27.15. Final bills were also not issued within 6 weeks of a customers change of supplier (in accordance with SLC 27.17).	Alternative action taken, no formal finding of breach. Payment of £190,286.43 was paid to the voluntary redress fund	September 2020
Bulb Energy	Restricted Meter Infrastructure (RMI) consumers were unable to switch to Bulb due to an error in process. In addition to this some, RMI customers were charged multiple standing charges, one for each MPAN at the property. In addition to this, vulnerable consumers were removed from the Priority Services Register for certain Distribution Network Operators' (DNOs') records due to an error in Bulb's data-flow process	Alternative action taken, no formal finding of breach. Bulb agreed a redress package of compensation to affected customers. Customer goodwill payments totalling £901,035; direct customer refunds totalling £699,452 and a payment into the voluntary redress fund of £157,350. Total redress package of £1,757,837.	August 2020
SSE	SSE failed to meet its smart meter installation target for 2019, before it was acquired by Ovo in Jan 2020.	Alternative Action, no formal finding of breach. Ovo paid £1.2 million in voluntary redress to the Voluntary Redress Fund for SSE's historic issue.	August 2020
British Gas	British Gas changed their Pre Payment Meter (PPM) Top-up vendor from Paypoint to Payzone / Post Office which went live on 1 January 2020. British Gas failed to directly inform approximately 270K customers (many of them vulnerable) of the change to top up provider. British Gas informed customers of the change in top-up provider and of the change in minimum vend from £1 to £5 too late to allow customers sufficient time to switch supplier if they found this problematic. British Gas also did not have staff available for queries on 1 January 2020 on the go-live date.	Alternative Action, no formal finding of breach. British Gas made payments of approximately £1.48 million to impacted customers. In addition, British Gas agreed to make a payment of £250,000 to the voluntary redress fund, in recognition of its failings.	August 2020



Company	Issue	Decision	Date of decision
I-Supply	iSupply had a number of failings impacting over 115,000 customers between 2013 and 2019. These were: incorrect charges applied during contract renewals; incorrect application of VAT; incorrect cheapest tariff messages appearing on customer communications; incorrect recording of customer status re the PSR and vulnerable customers; misallocation of payments to customers.	Alternative Action, no formal finding of breach. I-supply paid a total redress package of £1,500,000, comprising of direct customer refunds totalling £809,220.41; customer goodwill payments totalling £595,290; a payment into the Voluntary Redress Fund totalling £95,489.59.	June 2020
Scottish Power	Scottish Power overcharged non-domestic customers due to an error resulting in meters over estimating consumption.	Alternative Action, no formal finding of breach. Scottish Power paid a total redress package of £388,741. This is comprised of £359,043 in refunds to customers, £17,923 in goodwill payments to customers, £11,775 in uncashed redress paid to the Voluntary Redress Fund.	June 2020
Shell Energy	Issue identified with Green Star Energy's compliance with Standard Licence Condition 0 on Standards of Conduct, and Standard Licence Condition 7.7, on information for customers about deemed contracts.	Alternative Action, no formal finding of breach. Green Star Energy paid a total redress package of £750,000. This is comprised of a £297,106 in direct refunds and compensation to customers and a payment of £452,894 to the Voluntary Redress Fund.	May 2020

In addition to this, other compliance engagement resulted in the following.

Type of impact	Value
Refunds paid to customers	£570,000
Compensation payments to consumers	£182,000
Redress payments to the Voluntary Redress Fund	£40,000
Total	£792,000



Open cases

In the table below, you can find open investigations as at the end of March 2021. Please note, the opening of an investigation does not imply that we have made any finding(s) about non-compliance. Ofgem does not publish information on all open investigations, in particular when Ofgem is conducting investigations into potential failures to comply with REMIT requirements. As a rule, we do not comment further on these investigations, including who we are investigating, unless we consider it necessary to do so in the interests of consumers or market confidence.

Company	Date Opened	Issue
Symbio Energy	January 2021	Investigation into Symbio Energy's compliance with Standard Licence Condition ("SLC") SLC 33 of the Electricity Supply Licence, the Feed-In Tariff (FIT) Order 2012, Articles 68 and 74 of the Renewable Obligation Order 2015 (as amended) (ROO) and Article 49 of the Renewable Obligation (Scotland) Order 2009 (ROS).
Scottish Power	November 2020	Investigation into Scottish Power's compliance with Standard Licence Conditions ("SLC") 38 of the Gas Supply Licence and SLC 44 of the Electricity Supply Licence. SLCs 38 and 44 require a licensee to set and achieve Annual Milestones for the installation of Smart Meters.

Company	Date Opened	Issue
Hudson Energy Supply UK Ltd	July 2020	Investigation into whether Hudson Energy Supply UK Ltd breached rules around billing, meter reading and communications in relation to the actions taken on its behalf by United Gas and Power Ltd.
United Gas and Power Ltd	July 2020	Investigation into Western Power Distribution and its compliance with obligations relating to the Priority Services Register.
Western Power Distribution	February 2020	Investigation into United Gas and Power Ltd's billing and communications activities.
National Grid Electricity Transmission plc and SP Transmission plc	January 2020	Investigation into whether National Grid Electricity Transmission plc and SP Transmission plc breached licence conditions and statutory obligations relating to the delivery and operation of the Western High Voltage Direct Current ("WHVDC") subsea link between Scotland and Wales.
National Grid Electricity Transmission plc	May 2018	Investigation into National Grid Electricity Transmission plc and its compliance with its obligations under the Standard Licence Condition 16 of the Transmission Licence.
Utility Warehouse	June 2018	Investigation into Utility Warehouse's compliance with Standard Licence Conditions (SLCs) 25C/0, 27.5, 27.8 and 28B of the Electricity Supply Licence and the Gas Supply Licence. We expanded the scope of the case to include SLC 32A in October 2019.
Paypoint	July 2017	Investigation into whether there has been an infringement of Chapter II of the Competition Act 1998 and/or Article 102 of the Treaty on the Functioning of the European Union, concerning potential abuse of a dominant position by a company providing services to the energy industry.



Final Orders

Below you can find details of the final orders imposed during the year from April 2020 to March 2021, we issued 4 final orders for the suppliers detailed below.

Final Order issued	Company	Concern
October 2020	Symbio	Failure to meet its Renewables Obligations (RO). We required Symbio to pay within the late payment window ending on 31 October 2020. Symbio made the payment fully on 10 November 2020 for the outstanding sum of £506,308.40 for its RO for 2019-2020, plus accrued interest.
October 2020	Nabuh Energy Limited	Failure to meet its Renewables Obligations (RO). Nabuh Energy Limited failed to provide sufficient assurances that the payment would be made.
October 2020	Robin Hood Energy	Failure to meet its Renewables Obligations (RO) and Feed In Tariff (FIT) levelisation payment.

In addition to this, details of the notices of consultation for a FO where we did not proceed to issue a FO are listed below.

Date consultation raised	Company	Concern	Outcome
November 2020	Utilita Energy Supply Limited	Utilita's requirement to take all reasonable steps to ensure that any replacement electricity or gas meter, and any new electricity or gas meter, which is installed, or is arranged to be installed, by the licensee forms part of a second generation (SMETS2) smart metering system. This requirement is set out in standard licence condition ("SLC") 39.7 and SLC 33.7 of the electricity and gas supply licences respectively ("the NRO Condition").	We decided that we will take no further action against Utilita in respect of its compliance with the NRO Condition for the time being. However, Utilita's compliance with the NRO Condition will be kept under review and a further Notice of Proposal to make a Final Order and/or a Notice to impose a Penalty may be issued in due course if we are satisfied that Utilita has or is contravening the NRO Condition and it is appropriate to do so.
October 2020	Tonik Energy	Failure to meet its RO and make their Feed In Tariff (FIT) levelisation payment.	Tonik ceased trading on 26 October 2020, we took the decision not to proceed with issuing a FO.
October 2020	MA Energy	Failure to meet its RO.	MA Energy Limited made full payment of £1,385,749.72, including interest, ensuring compliance with its RO for 2019-2020.
October 2020	Co-operative Energy Limited	Failure to meet its RO.	Co-operative Energy Limited made full payment of the remaining £5,359,946.40, including interest, ensuring compliance with its RO for 2019-2020.
October 2020	Flow Energy Limited	Failure to meet its RO.	Flow Energy Limited made full payment due of £2,646,022.32 including interest, and the mutualisation payment of £40,276.44 ensuring compliance with its RO for 2019-2020.



We have also detailed the outcomes of the FOs that have concluded during this year. Symbio Energy Ltd's RO final order was issued during this financial year and conclude within the same year. The Final Orders for Enstroga Ltd, Entice Energy Supply Limited, Daligas Ltd, Euston Energy and Symbio Energy Ltd in regards to their DCC User compliance were issued during the previous year but concluded within this year.

Final Order (FO) ended	Company	Outcome from FO
December 2020	Symbio Energy Limited	Symbio made a payment to the Authority in full settlement of its RO, for the obligation period of 1 April 2019 to 31 March 2020, in the sum of £506,308.40, plus accrued interest. They met the requirements set out in the Final Order. We issued a Revocation Order on 14 December 2020.
July 2020	Enstroga Limited	Enstroga Ltd completed all the required steps to become a DCC user. They met the requirements set out in the Final Order. We issued a Revocation Order on 14 July 2020.
July 2020	Entice Energy Supply Limited	Entice Energy Ltd completed all the required steps to become a DCC user. They met the requirements set out in the Final Order. We issued a Revocation Order on 3 July 2020.
May 2020	Daligas Limited	Daligas Ltd completed all the required steps to become a DCC user. They met the requirements set out in the Final Order. We issued a Revocation Order on 28 May 2020.
May 2020	Euston Energy Ltd (trading as Northumbria Energy)	Euston Energy Ltd completed all the required steps to become a DCC user. They met the requirements set out in the Final Order. We issued a Revocation Order on 11 May 2020.
May 2020	Symbio Energy Limited	Symbio Energy Limited completed all the required steps to become a DCC user. They met the requirements set out in the Final Order. We issued a Revocation Order on 11 May 2020.



Appendix III

Off-payroll appointees

Table 1

Highly paid off-payroll worker engagements as at 31 March 2021, earning £245³⁰ per day or greater.

No. of existing engagements as of 31 March 2021	10
Of which:	
No. that existed < 1 year	5
No. that have existed for between 1 and 2 years	5
No. that have existed for between 2 and 3 years	0
No. that have existed for between 3 and 4 years	0
No. that have existed for 4 or more years	0

Table 2

All highly paid off-payroll workers engaged at any point during the year ended 31 March 2021, earning £245 per day or greater.

No. of temporary off-payroll workers engaged during the year ended 31 March 2021	10
Of which:	
Not subject to off-payroll legislation ³¹	0
Subject to off-payroll legislation and determined as in-scope of IR35	9
Subject to off-payroll legislation and determined as out-of-scope of IR35	1
No. of engagements reassessed for compliance or assurance purposes during the year	1
Of which: No. of engagements that saw a change to IR35 status following review	0

Table 3

For any off-payroll engagements of board members, and/or, senior officials with significant financial responsibility, between 1 April 2020 and 31 March 2021.

No. of off-payroll engagements of board members, and/or, senior officials with significant financial responsibility, during the financial year.	0
Total no. of individuals on payroll and off-payroll that have been deemed "board members and/or senior officials with significant financial responsibility", during the financial year. This figure should include both on payroll and off-payroll engagements.	0

³⁰ The £245 threshold is set to approximate the minimum point of the pay scale for a Senior Civil Servant.

³¹ A worker that provides their services through their own limited company or another type of intermediary to the client will be subject to off-payroll legislation and the Department must undertake an assessment to determine whether that worker is in-scope of Intermediaries legislation (IR35) or out-of-scope for tax purposes.



Appendix IV

Trade union facility time

Table 1
Relevant union officials

What was the total number of your employees who were relevant union officials during the relevant period?

Number of employees who were relevant union officials during the relevant period	Full-time equivalent employee number
14	14

Table 2
Percentage of time spent on facility time

How many of your employees who were relevant union officials employed during the relevant period spent a) 0%, b) 1%-50%, c) 51%-99% or d) 100% of their working hours on facility time?

Percentage of time	Number of employees
0%	0
1-50%	14
51-99%	0
100%	0

Table 3
Percentage of pay bill spent on facility time

Provide the figures requested in the first column of the table below to determine the percentage of your total pay bill spent on paying employees who were relevant union officials for facility time during the relevant period.

Total cost of facility time	£6,479
Total pay bill	£76.058 million
Percentage of the total pay bill spent on facility time	0.008%

Table 4
Paid trade union activities

As a percentage of total paid facility time hours, how many hours were spent by employees who were relevant union officials during the relevant period on paid trade union activities?

Time spent on paid trade union activities as a percentage of total paid facility time hours calculated as: (total hours spent on paid trade union activities by relevant union officials during the relevant period ÷ total paid facility time)	42%
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Appendix V

Statutory arrangements under Section V of the Utilities Act 2000

Section 5(1) of the Utilities Act 2000 requires that the Authority makes a report to the Secretary of State each year on:

- the activities of the Authority during the year; and
- the activities of the CMA during that year in respect of any reference made to it by the Authority.

The activities of the Authority during the year are reported on throughout this report. [There have been no references made by the Authority to the CMA on which to report]

Section 5(2) of the Utilities Act 2000 requires that the annual report of the Authority includes the following:

- A general survey of developments in respect of matters falling within the Authority's functions, including in particular developments in competition between persons engaged in, or in commercial activities connected with:
 - the shipping, transportation or supply of gas conveyed through pipes; and
 - the generation, transmission, distribution or supply of electricity;
(These developments are referred to in the Performance Report)
- A report on the progress of the projects described in the forward work programme for that year;
(Progress is reported in the Performance Report)
- A summary of final and provisional orders made by GEMA in that year;
(This can be found in Appendix II)
- A summary of the penalties imposed by GEMA during that year;
(This can be found in Appendix II)
- A summary of any final notices given by GEMA under REMIT in that year;
(This can be found in Appendix II)
- A report on such other matters as the Secretary of State from time to time may require.

Section 5(2A) of the Utilities Act 2000 requires the Authority to include in its annual report a report on

- (a) the ways in which the Authority has carried out its duties under section 132(1) and (2) of the Energy Act 2013 in relation to a strategy and policy statement designated by the Secretary of State (so far as the statements designation was in effect during the whole or any part of the year); and
- (b) the extent to which the Authority has done the things set out in a forward work programme or other document as the things the Authority proposed to do during that year in implementing its strategy for furthering the delivery of the policy outcomes contained in the strategy and policy statement.

(The Secretary of State has not designated a strategy and policy statement applicable to this reporting year)

Section 5(3) of the Utilities Act requires the Authority to set out in its annual report any general directions given by the Secretary of State under s34(3) of the Gas Act 1986 or s47(2) of the Electricity Act 1989.

(The Secretary of State has not made any such general directions)

