Supplementary annex 3A: Data Assurance - Looking Ahead Report Template

Publication date: 10 January 2014

RIIO-T1/GD1/ED1 DATA ASSURANCE

Looking Ahead Report

Company	ABC Utilities
Sector	Transmission
Networks	ABC1
	ABC2
	ABC3
Report year	2013
Subject data year	2013/14
Report submitted date	31st October 2013

Contents

Version History

Version No.	Changes	Purpose	Author	Release Date
Pre-trial versions				
0.1	First draft version	For TOs/GDNs discussion at workshops in June. TOs/GDNs to feedback by end of June to inform discussions at DNO working group meeting of 10th July.	Neill Guha	31/05/13
0.1.1	First draft version revised following TO workshop	For consideration by Ofgem and working group.	TOs	15/07/13 (sent to Ofgem)
0.2	Version 0.1 revised by Ofgem to reflect DAG version 0.2.	For discussion with TO/GDN working group by 08/08/2013 at latest.	Neill Guha	01/08/13
0.2.1	Version 0.2 amended at working group meeting	To record agreement on version suitable for first trial version	Working group	
Trial versions				
0.3	Revised version 0.2.1 to reflect agreement at working group meeting 08/08/2013.	For first TO/GDN trial submission (looking ahead report 2013/14 to be submitted 31/01/2013)	Neill Guha	08/08/13

General guidance on completing this report template:
- *Boxes shaded in yellow should be completed.*
- *Each section and subsection should be completed*
- *Licensees may add additional subheadings within sections/subsections*
- *Additional sections should be added as appendices.*
- *Some sections may be combined if in the licensee's opinion it is preferable to do so.   The relevant pro forma sections should reference the area of the report where the information may be found.*

1   Introduction and overview of internal data collection and assurance processes

Guidance on completing this section:

1.1 This report

Guidance on completing this section:
State purpose of document, scope, any assumptions, any additional sections (other than those specified by the template) additional sections should be added as appendices.

This document was prepared in accordance with the looking ahead template [version no.] issued by Ofgem...

1.2 Organisational control and governance

Guidance on completing this section:
Explain internal control and governance of the organisation. Demonstrate well documented, consistent, and logical procedures, evidence that procedures are followed...

Supporting documentation

ii.	

1.3 Organisational approach to regulatory submissions

Guidance on completing this section:
How the company ensures that the regulated parts of its business are managed to produce submissions that are comprehensive and robust, and accurately reflective of its regulated businesses operations

Supporting documentation

iii.	

Supporting documentation

i.	

1.4 Data accountabilities

Guidance on completing this section:
All data submissions should have well defined and fully documented accountabilities to ensure compliance...

Supporting documentation

iv.	

1.5 Data assurance activities

Guidance on completing this section:
Explanation of what each data assurance activity means for the company in terms of processes and methodologies
Internal minimum data assurance activities

Supporting documentation

v.	

1.6 Employee understanding

Guidance on completing this section:
Details of initiatives to maximize employee understanding of data reporting, submission, and assurance processes; and importance of accurate and timely submissions and appropriate data assurance...

Supporting documentation

vi.	

2 Data Assurance Plan

2.1 Risk assessment

Guidance on completing this section:
Include explanation of any difficulty in carrying out risk assessment or any necessary assumptions applied
Additional split of submissions for risk assessment
Explanation for any changes in risk ratings from previous plan
Explanation of any changes in planned assurance activities not associated with change in risk rating

Supporting documentation

vii.	

2.2 Audit programme

Guidance on completing this section:
Details of company's audit programme

<div style="background-color:#FFFFCC; border:1px solid #000; height:1.5em;"></div>

Supporting documentation

viii.	

2.3 Explanation of selected data assurance activities

Guidance on completing this section:

Licensee's should explain:
- *why the data assurance activities are appropriate*
- *why the activities have been selected in preference to other available options.*

Supporting documentation

ix.	

2.4 Summary table: Risk assessment results and associated planned assurance activities

Guidance on completing this table:
Table to copied from risk assessment excel template 'Report_Table_2.4' sheet to DAG report. Current risk assessment and data assurance activities (planned for forthcoming year) as well as Comments/issues are autopopulated from 'Activities' sheet. Previous risk assessment and data assurance activities to be copied from previous year's template.

No.	Licence condition/ RIGs table	Total Risk Rating		Data Assurance Activities (planned for forthcoming year)				Data Assurance Activities (planned for forthcoming year)			Comments/ Issues
		Current	Previous	Planning	Review	Sign-off	Planning	Review	Sign-off		
1	RIGs X1	M		Y	Internal Data Audit; Internal Submission Process Audit.	Director sign-off.					-
2	RIGs X2	M		Y	Internal Data Audit; Internal Submission Process Audit.	Senior manager sign-off.					-
3	RIGs X3	H		Y	Internal Data Audit; Internal Submission Process Audit.	Senior manager sign-off.					-
4	RIGs X4	M		Y	Internal Expert Review.	Senior manager sign-off.					-
5	RIGs X5	M		Y	Internal Expert Review.	Senior manager sign-off.					-
6	RIGs X6	C		Y	Internal Expert Review; Internal Data Audit; External Submission Process Audit.	Senior manager sign-off; Board Sign-off .					-
7	RIGs X7	H		Y	External Data Audit.	Senior manager sign-off.					-
8	RIGs X8	H		Y	External Data Audit; External Submission Process Audit.	Senior manager sign-off.					-
9	RIGs X9	M		Y	Internal Expert Review.	Senior manager sign-off.					-
10	RIGs X10	H		Y	Internal Expert Review.	Senior manager sign-off.					-
11	RIGs X11	L		Y	Internal Expert Review.	Senior manager sign-off.					-
End of table											

3   Risk reduction

3.1 Process issues, improvements, and risk reduction measures

Guidance on completing this section:
Identified process weaknesses, proposed improvements, and risk reduction measures
Identified scope for process improvements (identified since the last report)
References numbers – format: LA-YYYY-# (e.g. LA-2013-1 indicates no. 1 identified in 2013 looking ahead report)
How identified, impact on past submissions, mitigation measures to date, mitigation plans, expected effect of mitigation measures

Supporting documentation

x.	

3.2 Update on previously identified process issues

Guidance on completing this section:
Link to previous reports (reference numbers)
Could have an Excel log
Possibly for LB report and not required in LA report

Supporting documentation

xi.	

A   Appendices

1.	Supporting Documentation
2.	
3.	
4.	

A.1 Supporting documentation

Guidance on completing this table:

Any supporting documents referenced in the body of this document should be listed in this table.

Ref.	Document title	Version date/ number	Description	Submitted with LA report (Y/N)
i.				
ii.				
iii.				
iv.				
v.				
vi.				
vii.				
viii.				
ix.				

A.2 Non-mandatory appendix

Any number of additional appendices may be added