

# Supplementary annex 3B: Data Assurance - Looking Back Report Template

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## RIIO-T1/GD1/ED1 DATA ASSURANCE Looking Back Report Guidance

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## Version History

Version No.	Changes	Purpose	Author	Release Date
<b>Trial versions</b>				
0.1	N/A	To provide an indication to DNOs of the type of information Ofgem would like to see in their trial looking back reports (Nov 2013). These are to be freeform.	Neill Guha	17/09/13

DRAFT

## 1 Introduction

We agreed that for the next looking back report (November 2013) submission that DNOs would be free to design their own submissions rather than using a pro forma template. Following receipt of these 'freeform' reports we will consider whether to design a pro forma for future looking back reports.

This document contains an indication for DNOs of the type of information that Ofgem would like to see in the looking back reports. Paragraph 2 is taken from the first DNO trial DAG that was used for preparing the 2013 looking ahead reports. This guidance is still valid. However, paragraph 3 contains additional guidance on what in Ofgem's view the looking back reports should contain. This view is informed by Ofgem's review of the DNO's 2012 looking back reports.

The summary table is an update of 'Figure 4.5: Table required in Looking Back Report' from the first trial DAG. We expect to see this table in each report. The table can be populated in the risk assessment Excel template (version 0.4) and then copied and pasted into the looking back reports.

## 2 Guidance from first DNO trial DAG

Section/Chapter	Content
1. Introduction and background	Purpose of the report Structure of the report High level view of overall company approach to governance, control processes, etc High level view of overall approach to regulatory submissions.
2. Data Assurance Undertaken	Main body containing a review of what was done for assuring the previous year's data. Must include Table 4.5 as set out below (or it can be appended). Further commentary on the table, with specific focus on the findings from the assurance activity.
3. Actions and Lessons	Further detail on the last column of Table 4.5.

## 3 Additional information that Ofgem would like to see in LB reports

Below is a list of areas that Ofgem would find useful to be covered in the looking ahead reports. These are in addition to the sections identified in the first DNO trial DAG.

There may be some duplication of information between some of the suggested areas. However, DNOs should design their reports so as to present the information most

coherently and in a way that makes it as easy as possible for a reader to gain a full understanding of the appropriateness of their assurance activities and risk reduction measures etc. DNOs may find it helpful to refer to the current looking ahead report template as a guide to how Ofgem would like to see the reports structured.

Areas to be covered/observations from 2012 looking back reports:

- It would be helpful if DNOs were to provide a statement on incomplete, inaccurate or late submissions. This could contain details of the relevant submissions (even if it is to state that in the DNOs knowledge there were no incomplete, inaccurate or late submissions) plus explanation of reasons for the issues and steps the DNO is taking to avoid reoccurrence in the future.
- Identified process issues, improvements, and risk reduction measures.
  - Identified during the year
  - Update on previously identified
- Some DNOs tabulated actions. It would be helpful for each action to also have:
  - Purpose of action/desired outcome
  - How action was identified (e.g. following an audit)
  - Expected completion date
  - Ranking in order of priority

Update on previously identified actions would also be helpful:

- Whether completed or ongoing
  - Expected and actual completion date
  - Report in which action was first reported
  - Whether the action has had the desired outcome
  - Any subsequent actions such as monitoring effectiveness
- Details of audit programme containing results of internal and external audits started, completed or ongoing throughout the year. Explanation of audit scope and results and/or recommendations.

**Summary table: Risk assessment results, planned assurance activities and outcomes**

**Guidance on completing this table:**  
 Table to copied from risk assessment excel template 'Report\_Table\_2.4' sheet to DAG report.0020Current 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	Impact metric score  (from looking ahead report)	Process metric score	Total Risk Rating	Data Assurance Activities (from looking ahead report)			Findings from assurance activity	Changes/actions
					Planning	Review	Sign-off		
1	SLC11								
2	SLC11/CEAR Act/CRC8								
3	SLC15								
4	SLC15A								
5	SLC15A								
6	SLC19								
7	SLC30								
8	SLC44								
9	SLC44A								
10	SLC44B								
11	SLC44C								
12	SLC45								
13	SLC45								
14	SLC45								
15	SLC45								
16	SLC45A								
17	SLC45A								
18	SLC46								
19	SLC46								
20	SLC46A								
21	SLC47								
22	SLC47								
23	SLC47								
24	SLC48								
25	SLC48								
26	CRC8 (as set out in RIGs)								
End of table									