



Making a positive difference  
for energy consumers

To holders of an Electricity  
Distribution Licence, an Electricity  
Transmission Licence, a Gas  
Transporter Licence and other  
interested parties

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Date: 16 December 2015

## **Consultation on proposed amendments to the Data Assurance Guidance submissions for network companies**

### **Introduction**

This consultation seeks views on proposed amendments to the Data Assurance Guidance (DAG) submissions for electricity distribution (DNOs), gas distribution (GDN) and electricity and gas transmission (TOs) licensees. These amendments are set out in the Annexes to this letter.

### **Background**

The receipt of robust data from network companies is essential in enabling the Authority to effectively carry out its role as regulator. It is central to explaining to customers what is being delivered in return for the revenue that companies are allowed to earn, assessing the companies' price control forecasts and in monitoring performance against the price control settlement. It is therefore imperative that companies take responsibility for the integrity of the data they collect and submit to us.

For these reasons, we introduced requirements for network companies in relation to data assurance that came into effect on 1<sup>st</sup> April 2015. These requirements are contained in the licences for gas and electricity transmission and distribution companies<sup>1, 2, 3</sup>.

The remainder of this letter explains our proposed amendments.

### **Data assurance proposals**

The DAG requires network companies to carry out risk assessments on the data they submit to Ofgem. The risk assessment takes account of the potential impact of incorrect data, as well as the probability of occurrence. The companies are also required to plan data assurance activities that are proportionate to the risk of a submission; all submissions require each of the following three stages of data assurance:

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<sup>1</sup> Electricity Distribution Licence: Standard Licence Condition 45 (Data Assurance requirements)

<sup>2</sup> Gas Transporter Licence: Standard Special Condition A55 (Data Assurance requirements)

<sup>3</sup> Electricity Transmission Licence: Standard Licence Condition B23 (Data Assurance requirements)

1. **Planning:** a methodology statement and submission plan that explains the systems, processes, responsibilities, and timings for a data submission.
2. **Review:** the process of checking, validating, and certifying that data has been correctly collected, computed, compiled, and interrogated to the required level of accuracy and reliability, and in adherence to applicable rules, guidance or policies.
3. **Sign-off:** formal certification that all reasonable steps have been taken to validate and check that all aspects of a data submission (including accompanying narrative or commentary) are correct and meet the required levels of accuracy.

In addition, the DAG requires network companies to take appropriate actions on the findings of their data assurance activities, or where submission errors are identified, and consider ways to improve their systems and processes for submitting data to Ofgem.

### *Electricity distribution*

The current submission list for DNOs requires companies to submit a single assessment report for the cost and volumes pack reported as part of the Regulatory Instructions and Guidance (RIGs). The DNOs have indicated that, to produce this, they risk assess and assure each table in the pack and then combine the assessments into a single report. Given the nature of the pack and the scoring mechanisms of the DAG, this often results in the entire pack being rated as either high or critical risk; whereas for some individual tables, this may not be an appropriate rating.

We therefore propose to require the DNOs to submit separate assessment for the majority of the tables. We do not believe this will increase the reporting requirements on the DNOs, since they already risk assess each table to produce an overarching report. We believe our proposal will give increased clarity over each of the tables, and allow us to look in detail at those tables rated as high or critical.

In 2016 the DNOs will restate the data they submitted during the previous price control (DPCR5) in the format of the current price control (RIIO-ED1) RIGs. The DPCR5 restatement is important, as it will allow better and easier comparison between the two price control periods. However, we believe the regular submission assessment of the RIGs should focus on the new RIIO-ED1 data and not on historical information that has already been submitted and assessed as part of a previous DAG submission. Therefore, we propose to list the re-statement of the historical DPCR5 information in the RIIO-ED1 cost and volumes pack as a single irregular submission in the submission list. This means that we will not require the DNOs to submit their revised DPCR5 information risk assessment on a table-by-table basis.

In creating these proposals, we considered feedback from key stakeholders and updated the submission list where appropriate.

Annex A shows our proposed revisions to the submission list. We have not included the 'Mandated Assurance' column to reduce the level of detail shown. In order to allow for comparison, Annex B shows the current submission list.

### *Electricity transmission, gas distribution and transmission*

We have reviewed the previous submissions for electricity transmission, and gas distribution and transmission and considered feedback from key stakeholders. We have

identified a small number of changes due to modifications in the RIGs. As a result, some tables are no longer applicable, some have been replaced and new tables have been added. Therefore, we propose to update the DAG submission list. Our proposed revisions to the submission lists are shown in Annex C for electricity transmission, Annex E for gas transmission and Annex G for gas distribution. We have not included the 'Mandated Assurance' column to reduce the level of detail shown. In addition, we have included the current submission lists in Annex D for electricity transmission, Annex F for gas transmission and Annex H for gas distribution.

#### *Reporting requirements for all networks*

We are consulting on updates to the DAG reporting requirements for all network companies. The companies will have to submit only those tables where the overall risk rating has changed since the previous DAG submission. The companies will have to continue to risk assess all tables as per the DAG requirements and be able to submit the related information to Ofgem upon request.

#### *DAG documents*

We have included the following documents as subsidiary documents to this letter. They show our proposed changes to reflect the proposals above and to correct minor typographical errors identified since the last revision of the documents<sup>4</sup>:

- DAG Guidance document v1.2
- Risk Assessment Template v1.2

We propose the new or modified provisions of the documents to take effect from 31 January 2016.

#### **Consultation responses**

We would like to hear the views of interested parties in relation to the proposals in this document and the documents identified above. Responses to this consultation should be received by **18 January 2016** and should be sent to: Aris Kalogeropoulos, RIIO Implementation, Ofgem, 9 Millbank, London, SW1P 3GE or via email to [RIIO.Implementation@ofgem.gov.uk](mailto:RIIO.Implementation@ofgem.gov.uk)

All responses will be published on our website unless they are marked as confidential. We prefer to receive responses in an electronic form so they can be easily published online.



**Anna Rossington - Head of RIIO Implementation  
Authorised on behalf of the  
Gas and Electricity Markets Authority**

**16 December 2015**

<sup>4</sup> Irregular Submission Assurance Template and NetDAR Template have not changed and are publicly available on <https://www.ofgem.gov.uk/publications-and-updates/decision-data-assurance-guidance-and-licence-changes-electricity-and-gas-transmission-licensees-and-gas-distribution-licensees>

## Annex A: Updated submission list for Electricity Distribution Network Operators

No.	Licence Condition	Condition title/ table number	Required Information
<b>REGULAR SUBMISSIONS</b>			
1	SLC 19	Non-Contestable Connection Services	Non-discrimination in the provision of non-contestable connection services
2	SLC 30	Availability of Resources	Certificate of adequacy of financial resources & facilities. Operational resources. Compliance with certain SLCs.
3	SLC 44	Regulatory Accounts	Regulatory accounts incorporating auditors report and Remuneration Statement
4	SLC 44	Cross Subsidy Report	Cross subsidy report, auditors report
5	SLC 45	Data Assurance Requirements	Network Data Assurance Report (NetDAR)
6	SLC 46	Cost & Volumes	Cost & Volumes Reporting Pack and Commentary
7	SLC 46	C1 - Cost Matrix 2016	Cost & Volumes Reporting Pack and Commentary
8	SLC 46	C3 - Physical Security	Cost & Volumes Reporting Pack and Commentary
9	SLC 46	C4 - IT and Telecoms (Non-Op)	Cost & Volumes Reporting Pack and Commentary
10	SLC 46	C5 - Property (Non Op)	Cost & Volumes Reporting Pack and Commentary
11	SLC 46	C6 - Vehicles and Transport (Non Op)	Cost & Volumes Reporting Pack and Commentary
12	SLC 46	C7 - STEPM (Non Op)	Cost & Volumes Reporting Pack and Commentary
13	SLC 46	C9 - Core Closely Associated Indirects (CAI)	Cost & Volumes Reporting Pack and Commentary
14	SLC 46	C10 - Wayleaves (CAI)	Cost & Volumes Reporting Pack and Commentary
15	SLC 46	C11 - Vehicles and Transport (CAI)	Cost & Volumes Reporting Pack and Commentary
16	SLC 46	C12 - Core Business Support	Cost & Volumes Reporting Pack and Commentary
17	SLC 46	C13 - IT and Telecoms (Business Support)	Cost & Volumes Reporting Pack and Commentary
18	SLC 46	C14 - Property Mgt (Business Support)	Cost & Volumes Reporting Pack and Commentary
19	SLC 46	C15 - Atypicals Non Severe Weather 2016	Cost & Volumes Reporting Pack and Commentary
20	SLC 46	C22 - Pass-through	Cost & Volumes Reporting Pack and Commentary
21	SLC 46	C24 - Related Party Margin	Cost & Volumes Reporting Pack and Commentary
22	SLC 46	CV1 - Primary Reinforcement	Cost & Volumes Reporting Pack and Commentary
23	SLC 46	CV2 - Secondary Reinforcement	Cost & Volumes Reporting Pack and Commentary
24	SLC 46	CV3 - Fault Level Reinforcement	Cost & Volumes Reporting Pack and Commentary
25	SLC 46	CV4 - New Transmission Capacity Charges (NTCC)	Cost & Volumes Reporting Pack and Commentary
26	SLC 46	CV5 - Diversions	Cost & Volumes Reporting Pack and Commentary
27	SLC 46	CV6 - Diversions Rail Electrification	Cost & Volumes Reporting Pack and Commentary
28	SLC 46	CV7 - Asset Replacement	Cost & Volumes Reporting Pack and Commentary
29	SLC 46	CV8 - Refurbishment no Secondary Deliverable Improvement (SDI)	Cost & Volumes Reporting Pack and Commentary

30	SLC 46	CV9 - Refurbishment with a Secondary Deliverable Improvement (SDI)	Cost & Volumes Reporting Pack and Commentary
31	SLC 46	CV10 - Civil Works Condition Driven	Cost & Volumes Reporting Pack and Commentary
32	SLC 46	CV11 - Operational IT and Telecoms	Cost & Volumes Reporting Pack and Commentary
33	SLC 46	CV12 - Black Start	Cost & Volumes Reporting Pack and Commentary
34	SLC 46	CV13 - BT 21st Century (BT21CN)	Cost & Volumes Reporting Pack and Commentary
35	SLC 46	CV14 - Legal and Safety	Cost & Volumes Reporting Pack and Commentary
36	SLC 46	CV15 - QoS and North of Scotland Resilience	Cost & Volumes Reporting Pack and Commentary
37	SLC 46	CV16 - Flood Mitigation	Cost & Volumes Reporting Pack and Commentary
38	SLC 46	CV17 - Rising and Lateral Mains (RLMs)	Cost & Volumes Reporting Pack and Commentary
39	SLC 46	CV18 - Overhead Clearances	Cost & Volumes Reporting Pack and Commentary
40	SLC 46	CV19 - Worst Served Customers (WSC)	Cost & Volumes Reporting Pack and Commentary
41	SLC 46	CV20 - Visual Amenity	Cost & Volumes Reporting Pack and Commentary
42	SLC 46	CV21 - Losses	Cost & Volumes Reporting Pack and Commentary
43	SLC 46	CV22 - Environmental Reporting	Cost & Volumes Reporting Pack and Commentary
44	SLC 46	CV23a - RIIO-ED1 High Value Project 1 (HVP1)	Cost & Volumes Reporting Pack and Commentary
45	SLC 46	CV23b - RIIO-ED1 High Value Project 2 (HVP2)	Cost & Volumes Reporting Pack and Commentary
46	SLC 46	CV23c - RIIO-ED1 High Value Project 3 (HVP3)	Cost & Volumes Reporting Pack and Commentary
47	SLC 46	CV23d - RIIO-ED1 High Value Project 4 (HVP4)	Cost & Volumes Reporting Pack and Commentary
48	SLC 46	CV23e - RIIO-ED1 High Value Project 5 (HVP5)	Cost & Volumes Reporting Pack and Commentary
49	SLC 46	CV24 - DPCR5 High Value Projects	Cost & Volumes Reporting Pack and Commentary
50	SLC 46	CV25 - Moorside	Cost & Volumes Reporting Pack and Commentary
51	SLC 46	CV26 - Faults	Cost & Volumes Reporting Pack and Commentary
52	SLC 46	CV27 - Severe Weather 1 in 20	Cost & Volumes Reporting Pack and Commentary
53	SLC 46	CV28 - Occurrences Not Incentived (ONIs)	Cost & Volumes Reporting Pack and Commentary
54	SLC 46	CV29 - Tree Cutting	Cost & Volumes Reporting Pack and Commentary
55	SLC 46	CV30 - Inspections	Cost & Volumes Reporting Pack and Commentary
56	SLC 46	CV31 - Repairs and Maintenance	Cost & Volumes Reporting Pack and Commentary

57	SLC 46	CV32 - Dismantlement	Cost & Volumes Reporting Pack and Commentary
58	SLC 46	CV33 - Substation Electricity	Cost & Volumes Reporting Pack and Commentary
59	SLC 46	CV34 - Smart Meter Intervention DNO	Cost & Volumes Reporting Pack and Commentary
60	SLC 46	CV35 - Operational Training (CAI)	Cost & Volumes Reporting Pack and Commentary
61	SLC 46	CV36 - Network Innovation Allowance (NIA)	Cost & Volumes Reporting Pack and Commentary
62	SLC 46	CV37 - Network Innovation Competition (NIC)	Cost & Volumes Reporting Pack and Commentary
63	SLC 46	CV38 - Innovation Funding Incentive (IFI) & Low Carbon Network (LCN) Fund	Cost & Volumes Reporting Pack and Commentary
64	SLC 46	CV39 - Directly Remunerated Services (DRS)	Cost & Volumes Reporting Pack and Commentary
65	SLC 46	V1 - Total Asset Movements	Cost & Volumes Reporting Pack and Commentary
66	SLC 46	V2 - Cleansing	Cost & Volumes Reporting Pack and Commentary
67	SLC 46	V3 - Connections	Cost & Volumes Reporting Pack and Commentary
68	SLC 46	V4 - Other Asset Movements	Cost & Volumes Reporting Pack and Commentary
69	SLC 46	M1 - Flood Mitigation (site)	Cost & Volumes Reporting Pack and Commentary
70	SLC 46	M2 - DPCR5 Worst Served Customer (WSC) Schemes	Cost & Volumes Reporting Pack and Commentary
71	SLC 46	M3 - ED1 Worst Served Customer (WSC) Schemes	Cost & Volumes Reporting Pack and Commentary
72	SLC 46	M4 - Enablers for RIIO-ED2	Cost & Volumes Reporting Pack and Commentary
73	SLC 46	M5 - Severe Weather	Cost & Volumes Reporting Pack and Commentary
74	SLC 46	M6 - Metal Theft	Cost & Volumes Reporting Pack and Commentary
75	SLC 46	M8 - Link Boxes	Cost & Volumes Reporting Pack and Commentary
76	SLC 46	M9a - Traditional Street Works (ex ante)	Cost & Volumes Reporting Pack and Commentary
77	SLC 46	M9b - Permit & Lane Rentals (ex ante)	Cost & Volumes Reporting Pack and Commentary
78	SLC 46	M9c - Permit & Lane Rentals (reopener)	Cost & Volumes Reporting Pack and Commentary
79	SLC 46	M10 - Shetland (SSEH)	Cost & Volumes Reporting Pack and Commentary
80	SLC 46	M11 - Subsea Cables	Cost & Volumes Reporting Pack and Commentary
81	SLC 46	M12 - Moorside (ENWL)	Cost & Volumes Reporting Pack and Commentary
82	SLC 46	M13 - Uncertainty Mechanism Information	Cost & Volumes Reporting Pack and Commentary

83	SLC 46	M14 - Drivers	Cost & Volumes Reporting Pack and Commentary
84	SLC 46	I5 - Theft Recovery	Cost & Volumes Reporting Pack and Commentary
85	SLC 46	I6 - RPI	Cost & Volumes Reporting Pack and Commentary
86	SLC 46	AP1 - Age Profile	Cost & Volumes Reporting Pack and Commentary
87	SLC 46	CR2 - Metered In-year	Connections
88	SLC 46	CR3 - Unmetered In-year	Connections
89	SLC 46	CR5 - Metered Connections Completed including Distributed Generation (DG)	Connections
90	SLC 46	CR6 - Unmetered Connections Completed	Connections
91	SLC 46	CR7 - Annual Quotations Issued	Connections
92	SLC 46	CR8 - Annual Out of Area Connections	Connections
93	SLC 46	CR9 - Direct Related Party Margin (RPM)	Connections
94	SLC 46	CR10 - ICP Part Funded Connections	Connections
95	SLC 46	CR11 - Section 22 Connections	Connections
96	SLC 46	CR12 - C&V Pack Summary	Connections
97	SLC 46	CR13 - Time to connect & time to quote	Connections
98	SLC 46	E1 - Visual Amenity	Environment and Innovation
99	SLC 46	E2 - Environmental Reporting	Environment and Innovation
100	SLC 46	E3 - BCF	Environment and Innovation
101	SLC 46	E4 - Losses Snapshot	Environment and Innovation
102	SLC 46	E5 - Smart Metering	Environment and Innovation
103	SLC 46	E6 - Innovative Solutions	Environment and Innovation
104	SLC 46	E7 - LCTs	Environment and Innovation
105	SLC 46	E8 - IRM	Environment and Innovation
106	SLC 46	Revenue	Revenue Reporting Pack
107	SLC 46	Financial Issues	Financial Issues Reporting Pack and Commentary
108	SLC 46	Secondary Deliverables	Secondary Deliverables Reporting Pack (Health & Criticality) and Commentary
109	SLC 46	Reinforcement Load Index (LI)	Reinforcement Load Index (LI) Reporting Pack and Commentary
110	SLC 46	QoS Interruptions	QOS Interruptions Reporting Pack
111	SLC 46	QoS Interruptions Stage Data	QOS Stage Data Reporting Pack
112	SLC 46	Guaranteed Standards of Performance	Guaranteed Standards of Performance (SLC 11) Reporting Pack
113	SLC 46	Occurrences Not Incentivised	Occurrences Not Incentivised Reporting Pack
114	SLC 46	QoS HV Disaggregation Data	QOS HV Disaggregation Reporting Pack
115	SLC 46	Connections Guaranteed Standards (SLC 15A)	Connections Guaranteed Standards (SLC 15A) Reporting Pack
116	SLC 46	SLC 12 and 15	SLC 12 and 15 Reporting Pack
117	SLC 46	Customer Service	Customer Service Reporting Pack
118	SLC 46	Triennial Pensions	Triennial Pension Reporting Pack
119	SLC 49	Public report against losses strategy	Publication on website of Distribution Losses Strategy

120	SLC 50	Business Plan Commitment Reporting	Business Plan Commitment Annual report
121	CRC2C	Stakeholder Engagement submission	Stakeholder Engagement Incentive Report (Parts 1 & 2)
122	CRC2E	Incentive on Connections Engagement (ICE) reporting	Looking Forward and Back report - 31 May
123	CRC2K	Ongoing performance against Connections Margins criteria	Connections Margin Annual report
<b>IRREGULAR SUBMISSIONS</b>			
Irregular submission examples			
124	SLC 47	Environmental Reporting	Environmental Report
125	SLC 51F	Network Asset Indices Methodology	By 1 July 2015, and every three months thereafter, provide the Authority with an update on the progress that it has made towards ensuring that the methodology is sufficiently well justified and the reporting is sufficiently robust.
126	SLC 52	Competition in Connections Code of Practice	Competition in Connections Report
127	CRC2D	IIS severe weather exceptional events	Statement of Facts submission
128	CRC2G	Losses Discretionary Reward	Losses Discretionary Reward Application
129	CRC2J	LCNF Application for Second Tier Successful Delivery Reward (SDR)	
130	CRC2J	LCNF Application for Second Tier Reward (STR)	
131	CRC3A	Legacy Price Control Adjustments	Bad debts DPCR5 Close out
132	CRC3A	Legacy Price Control Adjustments	Load Related Reopener Performance Report DPCR5 Close out
133	CRC3A	Legacy Price Control Adjustments	High Value Projects DPCR5 Close out
134	CRC3A	Legacy Price Control Adjustments	High Volume Connections Driver DPCR5 Close out
135	CRC3A	Legacy Price Control Adjustments	Network Output Measures DPCR5 Close out
136	CRC3D	Innovation Roll-out Mechanism	Innovation Roll-out Mechanism Application
137	CRC3F	Reopeners for Uncertain Costs	High Value Project Costs
138	CRC3F	Reopeners for Uncertain Costs	Enhanced Physical Site Security Costs
139	CRC3F	Reopeners for Uncertain Costs	Specified Street Works Costs
140	CRC3F	Reopeners for Uncertain Costs	Rail Electrification Costs
141	CRC3F	Reopeners for Uncertain Costs	Link Box Costs
142	CRC3G	Load Related Reopener	Load related costs
143	CRC3K	Rail Electrification Reopener / Adjustment	Rail Electrification Costs
144	CRC3L	Moorside	
145	CRC5A	NIC submission	NIC Proforma
146	CRC5D	Rebasing of NAW	Secondary Deliverables Reporting Pack
147	SLC 46	DPCR5 Re-statement	Historical information for DPCR5 (2010-2015) reported as part of the Cost & Volumes Reporting Pack submissions. The DPCR5 restatement data should not be assessed as part of the Cost and Volumes regular submissions.



## Annex B: Current submission list for Electricity Distribution Network Operators

No.	Licence Condition	Summary	Required Information
<b>REGULAR SUBMISSIONS</b>			
1	SLC11	Guaranteed Standards Annual Return. Best practice audit for LB only.	Annual GS performance return (to be accompanied by report on conclusions & resulting actions of management responsible for departments audited as part of the annual internal management audit specified in the RIGs)
2	SLC12	Requirement to offer terms for Use of System and connection	Reports under SLC12
3	Past Submissions: SLC11/CEAR Act/CRC8 Future Submissions: SLC 46	Complaints Return	Annual Complaints Return
4	Past Submissions: SLC15 Future Submissions: SLC 46	Competition in Connections Annual Return	Performance against standards for provision of non-contestable connection services
5	Past Submissions: SLC15A Future Submissions: SLC 46	GSoP - connections performance quarterly return (Q4 2014-15)	Performance against standards in the Electricity (Connection Standards of Performance) Regulations 2010 and the DG Standards Direction
6	Past Submissions: SLC15A Future Submissions: SLC 46	Connections RIGs tables	Connections Reporting Pack
7	SLC19	Non-discrimination in the provision of non-contestable connection services.	Non-discrimination in the provision of non-contestable connection services
8	SLC30	Availability of resources	Certificate of adequacy of financial resources & facilities. Operational resources.
9	SLC44	Regulatory Accounts	Regulatory accounts, auditors report
10	SLC44	Cross Subsidy Report	Cross subsidy report/AUPs
11	Past Submissions: SLC44A Future Submissions: SLC 46	Network Outputs	Network outputs
12	Past Submissions: SLC44C Future Submissions: SLC 46	LCNF (RIGs tables)	Low carbon networks funding for RIGs tables
13	Past Submissions: SLC45 Future Submissions: SLC 46	IIS main interruptions and stage return	QoS interruptions
14	Past Submissions: SLC45 Future Submissions: SLC 46	IIS HV disagg	QoS HVB disaggregation data
15	Past Submissions: SLC45 Future Submissions: SLC 46	Non-QoS	Non-QoS occurrences not reported as interruptions
16	Past Submissions: SLC45 Future Submissions: SLC 46	Monthly telephony return	Speed of telephone response information
17	Past Submissions: SLC45A Future Submissions: SLC 46	Transmission Connection Point Charges - RIGs	Transmission Connection Charges payable
18	Past Submissions: SLC45A Future Submissions: N/A	Transmission Connection Point Charges	Forecast of Transmission Point Exit Charges
19	Past Submissions: SLC46 Future Submissions: SLC 46	Incentive schemes for innovation funding and Distributed Generation	Specified information for DG scheme, RPZ scheme and IFI scheme.
20	Past Submissions: SLC46 Future Submissions: N/A	Incentive schemes for innovation funding and Distributed Generation	Specified information for IFI scheme carry-forward.

21	Past Submissions: SLC46A Future Submissions: N/A	BCF	Business Carbon Footprint Report
22	Past Submissions: SLC47 Future Submissions: SLC 46	Revenue Reporting RIGs	Template "A" information (the detailed return) + auditor's report & letter
23	Past Submissions: SLC47 Future Submissions: SLC 46	Revenue Reporting RIGs	Template "B" information (the forecast return)
24	Past Submissions: SLC48 Future Submissions: SLC 46	Cost Reporting RIGs - actuals	
25	Past Submissions: SLC48 Future Submissions: N/A	Cost Reporting RIGS - forecast	Price control review information (RRP)
26	Past Submissions: CRC8 Future Submissions: CRC2C	Customer satisfaction results for Broader Customer Measure Quarterly (Q4 2014-15 )	Customer satisfaction survey quarterly results.
<b>New for ED1</b>			
27	Past Submissions: N/A Future Submissions: SLC45	Data Assurance requirements	Network Data Assurance Report (NetDAR)
28	Past Submissions: N/A Future Submissions: SLC49	Public report against losses strategy	
29	Past Submissions: N/A Future Submissions: CRC2E	ICE reporting	
30	Past Submissions: CRC8 Future Submissions: CRC2C	Stakeholder engagement submission	
31	Past Submissions: N/A Future Submissions: SLC51F	Plan to the Authority indicating how DNO will ensure that its Network Asset Indices Methodology and the reporting of its Network Asset Secondary Deliverables are sufficiently well justified	
<b>IRREGULAR SUBMISSIONS</b>			
<b>Irregular submission examples</b>			
32	Past Submissions: CRC8 Future Submissions: CRC2D	IIS severe weather exceptional events	
33	CRC5A	NIC submission	
34	CRC5D	Rebasing of NAW	
35	CRC3L	Moorside	
36	CRC3A	Bad debts	
37	CRC3A	LRR evidence	
38	CRC3A	LRR reopener	
39	CRC3A	LVHC for LRR	
40	CRC3A	ICP adjustment for HVLC	
41	CRC3A	HVP evidence	
42	CRC3A	HVP reopener	
43	CRC3A	HVP outputs delivered	
44	CRC3A	Enhanced physical security VFM/ FFP evidence etc	

## Annex C: Updated submission list for Electricity Transmission Operators<sup>5</sup>

No.	Licence Condition	Condition title/ table number	Required Information
<b>REGULAR SUBMISSIONS</b>			
<b>Electricity transmission - Costs and outputs RIGs tables</b>			
1	SLC B15	1.1 Income Statement: Finance	Standard form of each licensee's Profit & Loss / Statement of Comprehensive Income, consistent with the Regulatory Accounts.
2	SLC B15	1.2 Financial Position: Finance	Standard form of each licensee's cash flow position consistent with the Regulatory Accounts.
3	SLC B15	1.3 Cashflow: Finance	Standard form of each licensee's cash flow position consistent with the Regulatory Accounts.
4	SLC B15	1.4 Rec to cost tables: Finance	Reconcile Opex and Capex balances derived from the Regulatory Accounts to the values reported in the cost tables.
5	SLC B15	1.5 Net Debt: Finance	Details of all debt instruments and associated financial derivatives by type.
6	SLC B15	1.6 Disposals: Finance	Information relating to fixed asset disposals.
7	SLC B15	1.7 Tax computation: Finance	Show how the licensee arrives at the current tax charge
8	SLC B15	1.8 Tax pools: Finance	Annual additions in the regulatory financial year and movements in capital allowances for the licensee.
9	SLC B15	1.9 Tax allocations: Finance	Allocation of Totex spend to capital allowance pools for the licensee consistent with the numbers in the Regulatory Accounts for the year.
10	SLC B15	1.10 Tax allocations CT600: Finance	Allocation of Totex spend to capital allowance pools for the licensee consistent with the CT600 tax return submitted.
11	SLC B15	1.11 Tax clawback: Finance	Collate Net Debt and Net Interest information. This information will inform the calculation of the claw back of the tax benefit due to excess gearing as specified in RIIO-T1.
12	SLC B15	1.12 Financing requirements: Finance	High-level cash flow for the succeeding two regulatory years and the financing requirements over the same period.
13	SLC B15	1.13 Pension DB Scheme: Finance	Data relating to defined benefit (DB) pension scheme, obtained from pension scheme accounts and updated valuations.
14	SLC B15	Transmission Annual Report	Publish annual report on website
15	SLC B15	2.1 Totex PCFM: Totex	Provide the Totex expenditure inputs to inform the Annual Iteration Process of the Price Control financial Model (PCFM).
16	SLC B15	2.2 Totex Forecast: Totex	Summary of total opex and capex data for the actual reporting year and high level forecasts for the whole of the price control period.
17	SLC B15	2.3 Totex: Totex	Totex data to be published on the TO's website
18	SLC B15	2.4 Outputs: Totex	Outputs data to be published on the TO's website
19	SLC B15	2.5 Wider Works: Totex	Wider works data to be published on the TO's website
20	SLC B15	3.1 Opex summary: Opex	Breakdown of cash controllable costs into activities within business support, closely associated indirect and direct costs.
21	SLC B15	3.2 Year on Year Movt: Opex	Explain the reasons for increases and decreases in costs year on year of £0.5m or more (these are the net increases and decreases year on year in table 3.1a).
22	SLC B15	3.3 Asset Management Opex: Opex	The amount of cash controllable operating costs spent on fault repairs, planned inspections and maintenance, vegetation management, operational property management, BT 21 CN teleprotection and offshore transmission project,

<sup>5</sup> Some rows are shaded grey. This indicates that the submission is marked as not relevant in the current Risk assessment template

23	SLC B15	3.4 Business support group: Opex	Provide net and gross cash controllable cost analysis of business support costs that are charged to the UK regulated network businesses (and to non regulated entities where appropriate).
24	SLC B15	3.5 Business support allocation: Opex	To trace the group net cash controllable costs (from table 3.4) to individual activity allocated net cash controllable costs including any cost transfers to/from direct activity functions of the company's organisation.
25	SLC B15	3.6 Business support supplement: Opex	Additional information required to effectively monitor and understand business support cost drivers and allocations
26	SLC B15	3.7 Operational Training: Opex	Record the numbers and costs of training employees engaged on formal training and apprentice programmes including staff costs as well as other operational training costs.
27	SLC B15	3.8 Salary and FTE numbers: Opex	Total transmission and business support gross staff costs and FTEs
28	SLC B15	3.9 Exc & Demin: Opex	Costs relating to Excluded, Consented, and De Minimis services provided by the transmission business by type of service.
29	SLC B15	3.10 Provisions: Opex	Details of the provisions that have affected the results so that Ofgem can understand any significant events happening in the year.
30	SLC B15	3.11 Related Party Transactions: Opex	Services provided to the transmission business and other GB regulated network businesses by each related party.
31	SLC B15	3.12 IRM Expenditure: Opex	Costs and other data relating to IRM schemes designed to rollout a proven innovation.
32	SLC B15	3.13 NIA Expenditure: Opex	Report the amounts spent under the Network Innovation Allowance (NIA).
33	SLC B15	3.14 NIC Expenditure: Opex	Expenditure from the NIC Project bank account for any NIC project that is being implemented. The expenditure is recorded by project.
34	SLC B15, covering: 3K (part)	3.15 Physical Security Opex: Opex	Opex spent on physical security in relation to DECC's enhanced physical security upgrade programme (PSUP).
35	SLC B15	4.1 Capex Summary: Capex	Information relating to the licensee's actual capital expenditure in the reporting year and forecast expenditure for future years.
36	SLC B15, covering: 3J (part)	4.2 LRScheme Expenditure: Capex	Annual capital costs incurred on load related schemes during the reporting year.
37	SLC B15	4.3 NLRScheme Expenditure: Capex	Annual capital costs incurred on non-load related schemes during the reporting year.
38	SLC B15	4.4 Uncertain Costs: Capex	TO capex schemes that fall under the licence conditions 'uncertain costs' and 'Mitigating the impact of Pre-existing Transmission Infrastructure on the visual amenity of Designated Areas' detailed in each TO's special licence conditions.
39	SLC B15	4.5 Non Op Capex: Capex	Expenditure on non operational capex.
40	SLC B15	4.6 SO Capex: Capex	Expenditure on SO capex.
41	SLC B15, covering: 3J (part)	4.7 TIRG Schemes: Capex	Information relating to capital expenditure of all ongoing TIRG schemes.
42	SLC B15, covering: 3K (part)	4.8 Physical Security Capex: Capex	Capex spent on physical security in relation to DECC's enhanced physical security upgrade programme (PSUP).
43	SLC B15	5.1 System Chars and Activity: Network data	High-level information relating to physical characteristics of the transmission network and to provide key indicators of the overall level of transmission activity.
44	SLC B15	5.2 Faults and Failures: Network data	Information relating to the quality of transmission service delivered.
45	SLC B15	5.3 Boundary Tran Requirements: Network Data	Information on transmission capacity against required transfer levels at key parts of the transmission system, as indicators of load-driven need for developing the transmission infrastructure.
46	SLC B15	5.4 Bound Capab Dev: Network data	Information on the capacity delivered during the reporting year.

47	SLC B15	5.5 Demand & Supply Sub: Network data	Information relating to actual and forecast demand of substations within access groups.
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49	SLC B15	5.7 Non-lead Adds & Disps: Network data	Information relating to the additions and disposals of non-lead assets on the licensee's network.
50	SLC B15	5.8 Lead Unit Cost Actuals: Network data	Unit costs for key equipment classes on which material spend has been completed in the Reporting Year. This table covers both load-related and non-load related expenditure.
51	SLC B15	5.9 Non-lead Unit Costs: Network data	Unit costs for Metering, Telecommunications, Protection and Control.
52	SLC B15	5.10 ACU: Network Data	Data on circuit unreliability
53	SLC B15, covering: 3D (part)	6.1 NGET customer satisfaction: Outputs 6.1 Scot customer satisfaction: Outputs	Results from surveys that the transmission owners are required to carry out under the customer/stakeholder satisfaction output.
54	SLC B15	6.2 BCF: Outputs	Information on the licensee's Business Carbon Footprint (BCF) (in tonnes of CO2 equivalent).
55	SLC B15	6.3 Reliability: Outputs	Information in relation to incidents on the licensee's transmission system and the volume of unsupplied energy that is a consequence of these interruptions for the calculation of the licensee's Energy Not Supplied (ENS) incentive.
56	SLC B15	6.4 Scot Timely connections: Outputs	Summarise the performance of the TOs in delivering timely connections to the network. The data will support the timely connections output based on delivery against licence obligations and through this the obligations in the SO:TO Code (STC)).
57	SLC B15	6.5 SF6 emissions NGET: Outputs 6.5 SF6 emissions SPTL: Outputs 6.5 SF6 emissions SHE Trans: Outputs	Information in relation to emissions of sulphur hexafluoride from assets comprising part of the licensee's transmission system for the annual calculation of the licensee's SF6 incentive specified in Special Condition 3E (Incentive in Respect of Sulphur Hexafluoride (SF6) Gas Emissions).
58	SLC B15	6.6 Visual amenity outputs: Outputs	Information on the delivery of mitigation measures to improve the visual amenity of existing transmission infrastructure in Areas of Outstanding Natural Beauty, National Parks and National Scenic Areas ("designated areas").
59	SLC B15	6.7 BWW and SWW outputs: Outputs	Information on the licensee's progress in the construction and completion of Baseline Wider Works set out in Final Proposals and Strategic Wider Works that are approved for funding by the Authority during the RIIO-T1 period.
60	SLC B15	6.8 Pre-con SWW: Outputs	Information on the status of various pre-construction engineering activities in relation to a prospective SWW scheme.
61	SLC B15	6.9 SHE Trans Generation conns: Outputs	Information on forecast and delivered schemes that are subject to SHE Transmission's generation connection volume driver specified in Special Condition 6F of SHE Transmission's Electricity Transmission Licence. This information will allow us to adjust the baseline to reflect the forecast and actual capability delivered.
62	SLC B15	6.10 SPTL Generation sole: Outputs	Information on delivered sole use generation connection works that are subject to SPTL's generation connection volume driver specified in Special Condition 6F of SPTL's Transmission's Electricity Transmission Licence. This
63	SLC B15	6.10 SPTL Generation shared: Outputs	Information on delivered shared use generation connection works (collector schemes) that are subject to SPTL's generation connection volume driver specified in Special Condition 6F of SPTL's Transmission's Electricity Transmission Licence.
64	SLC B15	6.11 NGET Wider Works outputs: Outputs	Information required to operate the Wider Works volume driver set out in Special Condition 6J of NGET's Electricity Transmission Licence.
65	SLC B15	6.12 NGET planning requirements: Outputs	Scheme output information for DNO schemes and undergrounding provisions that are required as part of the planning process.

66	SLC B15, covering: 2L (part), 6F (part), 6L (part)	6.13 NGET Local Generation: Outputs	Information on the actual outputs and expenditure associated with the local generation (shared use) volume driver set out in Special Condition 6F of NGET's Electricity Transmission Licence. This information will allow us to adjust the licensee's baseline to reflect the actual outputs delivered.
67	SLC B15, covering: 2L (part), 6F (part), 6I (part)	6.14 NGET Local Demand: Outputs	Information on the actual outputs and expenditure associated with the local demand volume driver set out in Special Condition 6L of NGET's Electricity Transmission Licence.
68	SLC B15, covering: 2L (part)	6.15.1 NOMs detail: Outputs	Secondary deliverable information on current asset health and replacement priorities to assess performance against business plans and reported expenditure.
69	SLC B15, covering: 2L (part), 2M (part)	6.15.2 NOMs RP: Outputs	Secondary deliverable information on replacement priorities to assess performance against business plans and reported expenditure.
70	SLC B15	6.16.1 Criticality Substations: Outputs	Criticality information on substation assets as part of network output measures.
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72	SLC B15	6.16.3 Criticality SP: Outputs	System criticality information as part of network output measures.
73	SLC B15	6.17 Flood Mitigation: Outputs	Summarise work being undertaken to mitigate the risk of substation flooding.
<b>Electricity transmission - Revenue reporting RIGs</b>			
74	SLC B15	Revenue reporting RIGs	
<b>Electricity transmission - Standard conditions</b>			
75	SLC B1	Regulatory Accounts	Publication and production of regulatory accounts
76	SLC B7	Availability of Resources	Certificate 1F, 2F, or 3F in relation to the licensee's resources (under paragraph 2 of the condition) and accompanying documents required under paragraph 3.
77	SLC B8	Undertaking from Ultimate Controller	Schedule of undertakings - submission to the Authority under paragraph 3
78	SLC B15	Price Control Review Information	RIGs Narrative
79	SLC B15	Price Control Review Information	Pension Deficit Allocation Methodology dataset (Pension RIGs)
80	SLC B21	Notification of changes that may affect eligibility for certification	Written declaration
81	SLC B23	Data Assurance requirements	Network Data Assurance Report (NetDAR)
82	SLC C4	Charges for use of system	Latest use of system statement
83	SLC C8	Requirement to Offer Terms	Report in relation to all offers made
84	SLC C16	Procurement and use of balancing services	Statement of balancing services purchased. Balancing services principles compliance
85	SLC C17	Transmission system security standard and quality of service	Report providing details of system availability, security and service quality of the GB transmission system
86	SLC C21	Assistance for areas with high distribution costs scheme: payments from authorised suppliers	Methodology statement
87	SLC C23	Assistance for areas with high distribution costs scheme: annual statement	Methodology statement

88	SLC C24	Energy Administration: National Electricity Transmission System Operator Shortfall Contribution Obligations	Annual statement
89	SLC C11	Production of information about the national electricity transmission system.	A statement in showing in respect of each of the seven succeeding financial years circuit capacity, forecast power flows and loading on each part of the national electricity transmission system and fault levels for each transmission node.
90	SLC E2	Offshore: Regulatory Accounts	The OFTO licensee must deliver to the Authority its regulatory accounts and the auditor's reports no later than 31 July following the financial year to which the accounts relate.
91	SLC E8	Offshore: Availability of Resources	Availability of resources certificates.
92	SLC E9	Offshore: Undertaking from ultimate controller	Schedule of undertakings from ultimate controllers
<b>Electricity transmission - Special conditions</b>			
93	SpC 2E	Appointment and duties of the business separation compliance officer	Annual report
94	SpC 2F	Role in respect of the national electricity transmission operator area located in offshore water	Monthly Offshore Transmission Report and Certificate
95	SpC 2F	Role in respect of the National Electricity Transmission System Operator area located in offshore waters	Statement of network development information ("the enduring offshore development information statement").
96	SpC 2H	Compliance Officer's report	Report produced in accordance with paragraph 9 of the condition.
97	SpC 2I	Independence of and appointment of managing director of the Transmission Business	Managing Director of Transmission's report
98	SpC 2J	Network Access Policy	Network Access Policy
99	SpC 2K	Electricity Transmission Losses Reporting	Annual transmission losses report
100	SpC 2L	Methodology for Network Output Measures	Provide, (a) information about the Network Output Measures; supported by (b) such relevant other data and examples of network modelling as specified in the RIGs.
101	SpC 2M	Specification of Network Replacement Outputs	By 31 July 2021, provide a report on compliance with Network Replacement Output conditions.
102	SpC 2M-B	Specification of Network Replacement Outputs - Procedure for assessing Network Outputs and associated Price Control Allowed Expenditure Adjustments	Network output performance report
103	SpC 2N	Provision of Information to the System Operator	Statement on information provided to the System Operator
104	SpC 3D	Stakeholder Satisfaction Output	Carry out a survey to assess customer satisfaction and/or stakeholder satisfaction.
105	SpC 3D	Stakeholder Engagement submission	Stakeholder Engagement Incentive Report (Parts 1 & 2)
106	SpC 3E	Incentive in respect of sulphur hexafluoride	Statement of methodology
107	SpC 3F	Environmental Discretionary Reward	Application Form, EDR Scorecard Evidence, Executive-level Annual Statement

108	SpC 3J	Transmission Investment for Renewable Generation	For each transmission investment project, provide (a) preconstruction technical report, (i) the TIRG <sub>t=0</sub> output measures assessed against the forecast output measures, (ii) the TIRG <sub>t=n</sub> forecast output measures assessed against the forecast output measures, (b) not later than three months after the end of each of the TIRG Relevant Years t=p to t=0
109	SpC 3K	Allowance in Respect of a Security Period	details of estimated allowed security costs
110	SpC 3L	Pre-Construction Engineering Outputs for prospective Strategic Wider Works	Annual report
111	SpC 4I	Requirement to Report on System Transmission Losses	Publish as soon as is reasonably practicable, monthly data showing the total volume of historical Transmission Losses and an indication of the cost of Transmission Losses from the National Electricity Transmission System.
112	SpC 6B	Supplementary provision in relation to transmission asset owner incentives scheme activity in the legacy period	Specified information for each transmission investment incentives project.
113	SpC 6F	Baseline Generation Connections Outputs and Generation Connections Volume Driver	Generation Connections delivered after 31 March 2013 and on the actual expenditure the licensee has incurred
114	SpC 6I	Specification of Baseline Wider Works Outputs and Strategic wider works Outputs and Assessment of Allowed Expenditure	progress made in delivering the outputs and actual expenditure incurred
115	SpC 6L	Baseline Demand Related Infrastructure Outputs and Allowed Expenditure volume driver	Demand Works delivered after 31 March 2013, and on the actual expenditure the licensee has incurred
116	SpC AA5A	Information on the Balancing Services Activity Revenue Restriction	Statement giving the value for that relevant year certified by a director of the licensee. It shall also be accompanied by a report from the auditors.
<b>Electricity transmission - Other</b>			
117	Section 42C, Electricity Act 1989	Remuneration and service standards	Disclosure on Directors' remuneration.
<b>IRREGULAR SUBMISSIONS</b>			
<b>Irregular submission examples</b>			
118	SLC B9	Indebtedness	Statement of amounts held in escrow
119	SLC C14	Grid Code	Grid Code Derogation (application for issue of direction under paragraph 12 relieving the licensee of its obligations to implement or comply with the Grid Code)
120	SLC C17	Transmission system security standard and quality of service	Connect and manage derogation application or report
121	RIIO-T1 - Final Proposals	Mid period review submission	
122	SpC 6H	Arrangements for the recovery of uncertain costs	Reopener submission: Enhancement of physical security
123	SpC 7D	Arrangements for the recovery of SO uncertain costs	Reopener submission: SO security costs
124	SpC 6B	Supplementary provision in relation to transmission asset owner incentives scheme activity in the legacy period	Report produced in accordance with paragraph 29 of the condition.



125	SpC 6E	The Innovation Roll-out Mechanism	Reopener submission: Innovation Roll-out Mechanism (IRM)
126	SpC 6G	Mitigating the impact of Pre-existing Transmission Infrastructure on the visual amenity of Designated Areas	Licensee Notice to the Authority
127	SpC 3C	Reliability Incentive Adjustment in Respect of Energy Not Supplied	Exceptional event claim
128	SpC 3E	Incentive in Respect of Sulphur Hexafluoride (SF6) Gas Emissions	Exceptional event claim
129	RIIO-T1 - Final Proposals	Strategic Wider Works (SWW)	Needs case submission
130	RIIO-T1 - Final Proposals	Strategic Wider Works (SWW)	Project assessment submission
131	SpC 3I	Network Innovation Competition (NIC)	Project bid
132	SpC 3J	Transmission Investment for Renewable Generation	(a) Preconstruction technical report, post construction expenditure report etc. (b) TIRG Income Adjusting Event (c) TIRG Asset Value Adjusting Event (d) TIRG Output Measures Adjusting Event
133	SpC 6I	Specification of Baseline Wider Works Outputs and Strategic Wider Works Outputs and Assessment of Allowed Expenditure	Claim for a Cost and Output Adjusting Events
134	SpC AA5A	Information on the Balancing Services Activity Revenue Restriction	Income adjusting event claim
135		RIIO-T2 Business Plan	Elements to be listed separately as appropriate
136		Any other submission related to an uncertainty mechanism under RIIO-T1	

## Annex D: Current submission list for Electricity Transmission Operators<sup>6</sup>

No.	Licence Condition	Condition title/ table number	Required Information
<b>REGULAR SUBMISSIONS</b>			
<b>Electricity transmission - Costs and outputs RIGs tables</b>			
1	SLC B15	1.1 Income Statement: Finance	Standard form of each licensee's Profit & Loss / Statement of Comprehensive Income, consistent with the Regulatory Accounts.
2	SLC B15	1.2 Financial Position: Finance	Standard form of each licensee's cash flow position consistent with the Regulatory Accounts.
3	SLC B15	1.3 Cashflow: Finance	Standard form of each licensee's cash flow position consistent with the Regulatory Accounts.
4	SLC B15	1.4 Rec to cost tables: Finance	Reconcile Opex and Capex balances derived from the Regulatory Accounts to the values reported in the cost tables.
5	SLC B15	1.5 Net Debt: Finance	Details of all debt instruments and associated financial derivatives by type.
6	SLC B15	1.6 Disposals: Finance	Information relating to fixed asset disposals.
7	SLC B15	1.7 Tax computation: Finance	Show how the licensee arrives at the current tax charge
8	SLC B15	1.8 Tax pools: Finance	Annual additions in the regulatory financial year and movements in capital allowances for the licensee.
9	SLC B15	1.9 Tax allocations: Finance	Allocation of Totex spend to capital allowance pools for the licensee consistent with the numbers in the Regulatory Accounts for the year.
10	SLC B15	1.10 Tax allocations CT600: Finance	Allocation of Totex spend to capital allowance pools for the licensee consistent with the CT600 tax return submitted.
11	SLC B15	1.11 Tax clawback: Finance	Collate Net Debt and Net Interest information. This information will inform the calculation of the claw back of the tax benefit due to excess gearing as specified in RIIO-T1.
12	SLC B15	1.12 Financing requirements: Finance	High-level cash flow for the succeeding two regulatory years and the financing requirements over the same period.
13	SLC B15	1.13 Pension DB Scheme: Finance	Data relating to defined benefit (DB) pension scheme, obtained from pension scheme accounts and updated valuations.
14	SLC B15	2.1 Totex PCFM: Totex	Provide the Totex expenditure inputs to inform the Annual Iteration Process of the Price Control financial Model (PCFM).
15	SLC B15	2.2 Totex Forecast: Totex	Summary of total opex and capex data for the actual reporting year and high level forecasts for the whole of the price control period.
16	SLC B15	2.3 Totex: Totex	Totex data to be published on the TO's website
17	SLC B15	2.4 Outputs: Totex	Outputs data to be published on the TO's website
18	SLC B15	2.5 Wider Works: Totex	Wider works data to be published on the TO's website
19	SLC B15	3.1 Opex summary: Opex	Breakdown of cash controllable costs into activities within business support, closely associated indirect and direct costs.
20	SLC B15	3.2 Year on Year Movt: Opex	Explain the reasons for increases and decreases in costs year on year of £0.5m or more (these are the net increases and decreases year on year in table 3.1a).

<sup>6</sup> Some rows are shaded grey. This indicates that the submission is marked as not relevant in the current Risk assessment template.

21	SLC B15	3.3 Asset Management Opex: Opex	The amount of cash controllable operating costs spent on fault repairs, planned inspections and maintenance, vegetation management, operational property management, BT 21 CN teleprotection and offshore transmission project,
22	SLC B15	3.4 Business support group: Opex	Provide net and gross cash controllable cost analysis of business support costs that are charged to the UK regulated network businesses (and to non regulated entities where appropriate).
23	SLC B15	3.5 Business support allocation: Opex	To trace the group net cash controllable costs (from table 3.4) to individual activity allocated net cash controllable costs including any cost transfers to/from direct activity functions of the company's organisation.
24	SLC B15	3.6 Business support supplement: Opex	Additional information required to effectively monitor and understand business support cost drivers and allocations
25	SLC B15	3.7 Operational Training: Opex	Record the numbers and costs of training employees engaged on formal training and apprentice programmes including staff costs as well as other operational training costs.
26	SLC B15	3.8 Salary and FTE numbers: Opex	Total transmission and business support gross staff costs and FTEs
27	SLC B15	3.9 Exc & Demin: Opex	Costs relating to Excluded, Consented, and De Minimis services provided by the transmission business by type of service.
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82	SLC C8	Requirement to Offer Terms	Report in relation to all offers made
83	SLC C16	Procurement and use of balancing services	Statement of balancing services purchased. Balancing services principles compliance
84	SLC C17	Transmission system security standard and quality of service	Report providing details of system availability, security and service quality of the GB transmission system

85	SLC C21	Assistance for areas with high distribution costs scheme: payments from authorised suppliers	Methodology statement
86	SLC C23	Assistance for areas with high distribution costs scheme: annual statement	Methodology statement
87	SLC C24	Energy Administration: National Electricity Transmission System Operator Shortfall Contribution Obligations	Annual statement
88	SLC C11	Production of information about the national electricity transmission system.	A statement in showing in respect of each of the seven succeeding financial years circuit capacity, forecast power flows and loading on each part of the national electricity transmission system and fault levels for each transmission node.
89	SLC E2	Offshore: Regulatory Accounts	The OFTO licensee must deliver to the Authority its regulatory accounts and the auditor's reports no later than 31 July following the financial year to which the accounts relate.
90	SLC E8	Offshore: Availability of Resources	Availability of resources certificates.
91	SLC E9	Offshore: Undertaking from ultimate controller	Schedule of undertakings from ultimate controllers
<b>Electricity transmission - Special conditions</b>			
92	SpC 2E	Appointment and duties of the business separation compliance officer	Annual report
93	SpC 2F	Role in respect of the national electricity transmission operator area located in offshore water	Monthly Offshore Transmission Report and Certificate
94	SpC 2F	Role in respect of the National Electricity Transmission System Operator area located in offshore waters	Statement of network development information ("the enduring offshore development information statement").
95	SpC 2H	Compliance Officer's report	Report produced in accordance with paragraph 9 of the condition.
96	SpC 2I	Independence of and appointment of managing director of the Transmission Business	Managing Director of Transmission's report
97	SpC 2J	Network Access Policy	Network Access Policy
98	SpC 2K	Electricity Transmission Losses Reporting	Annual transmission losses report
99	SpC 2L	Methodology for Network Output Measures	Provide, (a) information about the Network Output Measures; supported by (b) such relevant other data and examples of network modelling as specified in the RIGs.
100	SpC 2M	Specification of Network Replacement Outputs	By 31 July 2021, provide a report on compliance with Network Replacement Output conditions.
101	SpC 2M-B	Specification of Network Replacement Outputs - Procedure for assessing Network Outputs and associated Price Control Allowed Expenditure Adjustments	Network output performance report
102	SpC 2N	Provision of Information to the System Operator	Statement on information provided to the System Operator
103	SpC 3D	Stakeholder Satisfaction Output	Carry out a survey to assess customer satisfaction and/or stakeholder satisfaction.
104	SpC 3E	Incentive in respect of sulphur hexafluoride	Statement of methodology
105	SpC 3J	Transmission Investment for Renewable Generation	For each transmission investment project, provide (a) preconstruction technical report, (i) the TIRG <sub>t=0</sub> output measures assessed against the forecast output measures, (ii) the TIRG <sub>t=n</sub> forecast output measures assessed against the forecast output measures, (b) not later than three months after the end of each of the TIRG Relevant Years t=p to t=0

106	SpC 3K	Allowance in Respect of a Security Period	details of estimated allowed security costs
107	SpC 3L	Pre-Construction Engineering Outputs for prospective Strategic Wider Works	Annual report
108	SpC 4I	Requirement to Report on System Transmission Losses	Publish as soon as is reasonably practicable, monthly data showing the total volume of historical Transmission Losses and an indication of the cost of Transmission Losses from the National Electricity Transmission System.
109	SpC 6B	Supplementary provision in relation to transmission asset owner incentives scheme activity in the legacy period	Specified information for each transmission investment incentives project.
110	SpC 6F	Baseline Generation Connections Outputs and Generation Connections Volume Driver	Generation Connections delivered after 31 March 2013 and on the actual expenditure the licensee has incurred
111	SpC 6I	Specification of Baseline Wider Works Outputs and Strategic wider works Outputs and Assessment of Allowed Expenditure	progress made in delivering the outputs and actual expenditure incurred
112	SpC 6L	Baseline Demand Related Infrastructure Outputs and Allowed Expenditure volume driver	Demand Works delivered after 31 March 2013, and on the actual expenditure the licensee has incurred
113	SpC AA5A	Information on the Balancing Services Activity Revenue Restriction	Statement giving the value for that relevant year certified by a director of the licensee. It shall also be accompanied by a report from the auditors.
<b>Electricity transmission - Other</b>			
114	Section 42C, Electricity Act 1989	Remuneration and service standards	Disclosure on Directors' remuneration.
<b>IRREGULAR SUBMISSIONS</b>			
<b>Irregular submission examples</b>			
115	SLC B9	Indebtedness	Statement of amounts held in escrow
116	SLC C14	Grid Code	Grid Code Derogation (application for issue of direction under paragraph 12 relieving the licensee of its obligations to implement or comply with the Grid Code)
117	SLC C17	Transmission system security standard and quality of service	Connect and manage derogation application or report
118	RIIO-T1 - Final Proposals	Mid period review submission	
119	SpC 6H	Arrangements for the recovery of uncertain costs	Reopener submission: Enhancement of physical security
120	SpC 7D	Arrangements for the recovery of SO uncertain costs	Reopener submission: SO security costs
121	SpC 6E	The Innovation Roll-out Mechanism	Reopener submission: Innovation Roll-out Mechanism (IRM)
122	SpC 3C	Reliability Incentive Adjustment in Respect of Energy Not Supplied	Exceptional event claim
123	SpC 3E	Incentive in Respect of Sulphur Hexafluoride (SF6) Gas Emissions	Exceptional event claim
124	RIIO-T1 - Final Proposals	Strategic Wider Works (SWW)	Needs case submission
125	RIIO-T1 - Final Proposals	Strategic Wider Works (SWW)	Project assessment submission
126	SpC 3I	Network Innovation Competition (NIC)	Project bid
127	SpC 3J	Transmission Investment for Renewable Generation	(a) Preconstruction technical report, post construction expenditure report etc. (b) TIRG Income Adjusting Event (c) TIRG Asset Value Adjusting Event (d) TIRG Output Measures Adjusting Event
128	SpC 6I	Specification of Baseline Wider Works Outputs and Strategic Wider Works Outputs and	Claim for a Cost and Output Adjusting Events

		Assessment of Allowed Expenditure	
	SpC AA5A	Information on the Balancing Services Activity Revenue Restriction	Income adjusting event claim
129		RIIO-T2 Business Plan	Elements to be listed separately as appropriate
130		Any other submission related to an uncertainty mechanism under RIIO-T1	



## Annex E: Updated submission list for Gas Transmission Operators<sup>7</sup>

No	Licence Condition	Condition title/ table number	Required Information
<b>REGULAR SUBMISSIONS</b>			
<b>Gas transmission - Costs and outputs RIGs tables</b>			
1	SSC A40	1.1 Income Statement: Finance	Standard form of each licensee's Profit & Loss / Statement of Comprehensive Income, consistent with the Regulatory Accounts.
2	SSC A40	1.2 Financial Position: Finance	Standard form of each licensee's cash flow position consistent with the Regulatory Accounts.
3	SSC A40	1.3 Cashflow: Finance	Standard form of each licensee's cash flow position consistent with the Regulatory Accounts.
4	SSC A40	1.4 Rec to cost tables: Finance	Reconcile Opex and Capex balances derived from the Regulatory Accounts to the values reported in the cost tables.
5	SSC A40	1.5 Net Debt: Finance	Details of all debt instruments and associated financial derivatives by type.
6	SSC A40	1.6 Disposals: Finance	Information relating to fixed asset disposals.
7	SSC A40	1.7 Tax computation: Finance	Show how the licensee arrives at the current tax charge
8	SSC A40	1.8 Tax pools: Finance	Annual additions in the regulatory financial year and movements in capital allowances for the licensee.
9	SSC A40	1.9 Tax allocations: Finance	Allocation of Totex spend to capital allowance pools for the licensee consistent with the numbers in the Regulatory Accounts for the year.
10	SSC A40	1.10 Tax allocations CT600: Finance	Allocation of Totex spend to capital allowance pools for the licensee consistent with the CT600 tax return submitted.
11	SSC A40	1.11 Tax clawback: Finance	Collate Net Debt and Net Interest information. This information will inform the calculation of the claw back of the tax benefit due to excess gearing as specified in RIIO-T1.
12	SSC A40	1.12 Financing requirements: Finance	High-level cash flow for the succeeding two regulatory years and the financing requirements over the same period.
13	SSC A40	1.13 Pension DB Scheme: Finance	Data relating to defined benefit (DB) pension scheme, obtained from pension scheme accounts and updated valuations.
14	SSC A40	2.1 Totex PCFM: Totex	Provide the Totex expenditure inputs to inform the Annual Iteration Process of the Price Control financial Model (PCFM).
15	SSC A40	2.2 Totex forecast: Totex	Summary of total opex and capex data for the actual reporting year and high level forecasts for the whole of the price control period.
16	SSC A40	2.3 Totex: Totex	Totex data to be published on the TO's website
17	SSC A41	2.4 Outputs: Totex	Outputs data to be published on the TO's website
18	SSC A40	2.5 Published outputs: Totex	Outputs data to be published on the TO's website
19	SSC A40	3.1 Opex Summary: Opex	Breakdown of cash controllable costs into activities within business support, closely associated indirect and direct costs.
20	SSC A40	3.2 Year on year movement: Opex	Explain the reasons for increases and decreases in costs year on year of £0.5m or more (these are the net increases and decreases year on year in table 3.1a).
21	SSC A40	3.3 Asset management opex: Opex	The amount of cash controllable operating costs spent on fault repairs, planned inspections and maintenance, vegetation management, operational property management, BT 21 CN tele protection and offshore transmission project,

<sup>7</sup> Some rows are shaded grey. This indicates that the submission is marked as not relevant in the current Risk assessment template

22	SSC A40	3.4 Business Support Group: Opex	Provide net and gross cash controllable cost analysis of business support costs that are charged to the UK regulated network businesses (and to non regulated entities where appropriate).
23	SSC A40	3.5 Business Support Allocation: Opex	To trace the group net cash controllable costs (from table 3.4) to individual activity allocated net cash controllable costs including any cost transfers to/from direct activity functions of the company's organisation.
24	SSC A40	3.6 Business Support Supplement: Opex	Additional information required to effectively monitor and understand business support cost drivers and allocations
25	SSC A40	3.7 Operational Training: Opex	Record the numbers and costs of training employees engaged on formal training and apprentice programmes including staff costs as well as other operational training costs.
26	SSC A40	3.8 Salary and FTE numbers: Opex	Total transmission and business support gross staff costs and FTEs
27	SSC A40	3.9 Exc & Demin: Opex	Costs relating to Excluded, Consented, and De Minimis services provided by the transmission business by type of service.
28	SSC A40	3.10 Provisions: Opex	Details of the provisions that have affected the results so that Ofgem can understand any significant events happening in the year.
29	SSC A40	3.11 Related Party Transactions: Opex	Services provided to the transmission business and other GB regulated network businesses by each related party.
30	SSC A40	3.12 IRM Expenditure: Opex	Costs and other data relating to IRM schemes designed to rollout a proven innovation.
31	SSC A40	3.13 NIA Expenditure: Opex	Report the amounts spent under the Network Innovation Allowance (NIA).
32	SSC A40	3.14 NIC Expenditure: Opex	Expenditure from the NIC Project bank account for any NIC project that is being implemented. The expenditure is recorded by project.
33	SSC A40	3.15 PSUP Opex: Opex	Opex spent on physical security in relation to DECC's enhanced physical security upgrade programme (PSUP).
34	SSC A40	3.16 Quarry loss: Opex	Details of accruals and cash payments relating to quarry and other loss of development claims.
35	SSC A40	4.1 Capex summary: Capex	Information relating to the licensee's actual capital expenditure in the reporting year and forecast expenditure for future years.
36	SSC A40	4.2 Project listing: Capex	List all current projects to install assets on the NTS system.
37	SSC A40	4.3 Capex Unit Cost: Capex	Current capex spend for completed projects.
38	SSC A40	4.4 Primary asts compr pipelns: Capex	Out-turn cost of primary assets commissioned during the reporting year, i.e. compressor stations and pipelines.
39	SSC A40	4.4 Primary asts compr units: Capex	Out-turn cost of major components of compressor stations, i.e. compressor units.
40	SSC A40	4.5 Non Op Capex (TO): Capex	Expenditure on TO non operational capex.
41	SSC A40	4.6 SO Capex: Capex	Expenditure on SO capex.
42	SSC A40	4.8 Physical security capex: Capex	Capex spent on physical security in relation to DECC's enhanced physical security upgrade programme (PSUP).
43	SSC A40	5.1 System characs: Network data	High-level information relating to physical characteristics of the transmission network, showing changes year on year.
44	SSC A40	5.2 Activity indicators: Network data	Key indicators of the overall level of transmission activity.
45	SSC A40	5.3 Utilisation & performance: Network data	Information relating to the overall size and quality of transmission service delivered.
46	SSC A40	5.4 Demand & capability: Network data	Key indicators of overall levels of capacity booked and levels of actual demand.

47	SSC A40	5.5 Compressor utilisation: Network data	Data on overall compressor utilisation and enable year on year comparisons to inform about changing patterns of supply and demand.
48	SSC A40	5.6 Environmental: Network data	Data on the environmental performance of the National Transmission System (NTS) so as to be able to link to throughput, and compare trends year on year.
49	SSC A40	5.7 Asset data: Network data	List all assets installed on the NTS system.
50	SSC A40	5.8 Forecast Scenarios: Network data	Information to identify entry and exit forecast parameters which help to inform network reinforcement investment decisions.
51	SSC A40	6.1 Customer satisfaction: Outputs	Results from surveys that the transmission owners are required to carry out under the customer/stakeholder satisfaction output. The
52	SSC A40, covering: SpC 2C (part)	6.2 Business carbon footprint: Outputs	Information on the licensee business carbon footprint (in tonnes of CO2 equivalent).
53	SSC A40	6.3 Gas incremental capacity: Outputs	Information on needs for incremental capacity over time and details of how this is delivered by NGGT.
54	SSC A40	6.4 Gas constraints & TSS: Outputs	Information about the costs and revenues associated with NGGT's constraint management actions and the actions in procuring transportation support services (TSS).
55	SSC A40	6.5 Physical capability: Outputs	Background information useful for understanding the demands for and capability to provide incremental capacity at the NTS and/or network flexibility expenditure.
56	SSC A40, covering: SpC 7D (part), SpC 7E (part)	6.6 Cond & risk entry points: Outputs 6.6 Cond & risk exit points: Outputs 6.6 Cond & risk comps: Outputs 6.6 Cond & risk pipelines: Outputs 6.6 Cond & risk multijunction: Outputs	Secondary asset information on current and forecast asset health, criticality and replacement priorities to assess performance against business plans and reported expenditure.
57	SSC A40	7.1 Operating margins: System operator	Information about the availability, utilisation and cost of Operating Margins.
58	SSC A40, covering: SpC 3D (part)	7.2 NTS shrinkage (revenue): System operator	Information in relation to performance against the shrinkage incentive.
59	SSC A40, covering: SpC 3D (part)	7.3 NTS Shrinkage (prompt): System operator	Information relating to Prompt Volume and Price Targets in relation to the Shrinkage Incentive.
60	SSC A40, covering: SpC 3D (part)	7.4 NTS Shrinkage (gas trades): System operator	Information relating to underlying gas trades taken in relation to the Shrinkage Incentive.
61	SSC A40, covering: SpC 3D (part)	7.5 NTS Shrinkage (elec trades): System operator	Information relating to underlying electricity trades taken in relation to the Shrinkage Incentive.
62	SSC A40	7.6 Res Bal Overview: System operator	Incentive revenues in relation to the Residual Gas Balancing Incentive.
63	SSC A40	7.7 Res Bal Data: System operator	Data in relation to the Daily Price Incentive Payment and Daily Linepack Incentive Payment which make up the Residual Gas Balancing Incentive revenue.
64	SSC A40	7.8 DF Overview: System operator	Headline incentive revenues under the Demand Forecasting Incentive.
65	SSC A40	7.9 DF Data: System operator	Breakdown of information of inputs into the Demand Forecasting Incentive.
66	SSC A40	7.10 DF Adjustment: System operator	Information about relevant adjustments for the Day Ahead component of the Demand Forecasting Incentive.
67	SSC A40, covering: SpC 3D (part)	7.11 GHG Incentive revenue: System operator	Report performance against the Greenhouse Gas Emissions Incentive.
68	SSC A40, covering: SpC 3D (part)	7.12 GHG Venting data: System operator	A breakdown of information about venting by vent type in relation to the Greenhouse Gas Emissions Incentive.

69	SSC A40	7.13 Maintenance IR: System operator	Information in relation to the Maintenance Incentive.
<b>Gas transmission - Revenue reporting RIGs</b>			
70	SSC A40	Revenue reporting RIGs	
<b>Gas Transporter - Standard conditions</b>			
71	SLC 45	Undertaking from Ultimate Controller	Schedule of undertakings
<b>NGGT - Standard special conditions</b>			
72	SSC A4	Charging – General	Statement on charges to be applied.
73	SSC A5	Obligations as Regard Charging Methodology	Report on the application of the charging methodology
74	SSC A30	Regulatory Accounts	Regulatory accounts, prepared under the same applicable accounting framework as the most recent or concurrent statutory accounts of the licensee.
75	SSC A34	Appointment of Compliance Officer	Report on compliance officer duties
76	SSC A37	Availability of Resources	Certificate 1F, 2F, or 3F in relation to the licensee's resources (under paragraph 2 of the condition) and accompanying documents required under paragraph 3.
77	SSC A40	Price Control Review Information	RIGs narrative
78	SSC A40	Price Control Review Information	Pension Deficit Allocation Methodology dataset (Pension RIGs)
79	SSC A48	Last Resort Supply: Payment Claims	Statement on charges, in respect of each year in which it increases or decreases charges.
80	SSC A55	Data Assurance requirements	Network Data Assurance Report (NetDAR)
81	SSC B4	Notification of changes that may affect eligibility for certification	Written declaration on eligibility for certification.
<b>NGGT - Special conditions</b>			
82	SpC 2C	Stakeholder Satisfaction Output	Carry out a survey to assess customer satisfaction and/or stakeholder satisfaction.
83	SpC 3B	Entry Capacity and Exit Capacity Constraint Management	statement of Constraint Management cost allocation rules.
84	SpC 3BL	Obligation to produce statement of Capacity Constraint Management cost allocation rules	statement of constraint management cost allocation rules, setting out the rules it must apply in attributing constraint management costs for the purposes of part D and part E of this condition
85	SpC 3D	NTS System Operator external incentives, costs and revenues	Shrinkage Incentive Methodology Statement and report from IA
86	SpC 3D	NTS System Operator external incentives, costs and revenues	Greenhouse Gas Emissions Project Costs
87	SpC 7	Long Term Development Statement	Annual statement with respect to each of the 10 succeeding years beginning with 1 October
88	SpC 7B	Transmission Planning Code	Not less than once in every period of two Formula Years, review the TPC in consultation with interested parties likely to be materially affected by the review.
89	SpC 7C	Licensee's Network Model	Not less than once in every period of two Formula Years, review the Network Model to ensure that it continues to meet the Network Model Objectives
90	SpC 7D	Methodology for Network Output Measures	(a) information (whether historical, current, or forward-looking) about the Network Output Measures; supported by (b) such relevant other data and such examples of network modelling, as may be specified for the purposes of this condition in any Regulatory Instructions and Guidance ("RIGs")
91	SpC 7E	Specification of Network Replacement Outputs	Network Replacement Outputs, analysis or information, and in accordance with such timescales, as the Authority considers is reasonably necessary to enable it to undertake its assessment for the purposes of its determination under paragraph 7E.4 of this condition.

92	SpC 7E-B	Specification of Network Replacement Outputs - Procedure for assessing Network Outputs and associated Price Control Allowed Expenditure Adjustments	Network output performance report
93	SpC 8A	System Management Services	report on System Management Services bought or acquired in the year, compliance with System Management Principles and report from IA
94	SpC 8C	Procurement of Operating Margins	Operating margins report
95	SpC 8E	Requirement to undertake UAG Projects to investigate the causes of Unaccounted for Gas (UAG)	UAG report and publication
96	SpC 8G	Maintenance and Operational Planning	Annual maintenance plan
97	SpC 8H	Greenhouse Gas Emissions Calculation Methodology	report on Greenhouse Gas Emissions Calculation Methodology
98	SpC 9A	Entry Capacity and Exit Capacity Obligations and Methodology Statements	Provide a report on the application and implementation of the methodologies adnIA report
99	SpC 9B	Methodology to determine the release of Entry Capacity and Exit Capacity volumes	Prepare and submit capacity release methodology statements
100	SpC 9C	Methodology to determine revenue drivers	Generic entry and exit revenue driver methodology statements.
101	SpC 10C	Appointment and duties of the business separation compliance officer	Annual report
102	SpC 11B	Allocation of revenues and costs for calculations under the price control in respect of the NTS Transportation Owner Activity and NTS System Operation Activity	A statement setting out methodology used in the allocation and attribution of revenues and costs, and how it complied.
103	SpC 11D	Energy Administration: NTS Shortfall Contribution Obligations	A statement on modification of charges in respect of each period of 12 months ending on 31 March.
104	SpC 11E	Restriction of Prices for Liquefied Natural Gas (LNG) Storage Services	A report in writing stating the volume and price of all Storage Capacity sold in respect of each relevant year.
105	SpC 11F	Gas Conveyed to Independent Systems	A statement setting out the Bulk Price Differential and other payments made to DN Operators relating to Independent Systems
<b>NGGT - Other</b>			
106	Section 33F, Gas Act 1986	Remuneration and service standards	Disclosure on Directors' remuneration.
<b>IRREGULAR SUBMISSIONS</b>			
<b>Irregular submission examples</b>			
107	SSC A39	Indebtedness	Statement of amounts held in escrow
108	RIIO-T1 - Final Proposals	Mid period review submission	
109	SpC 5E	Arrangements for the recovery of uncertain costs	Reopener submission: Enhancement of physical security
110	SpC 5E	Arrangements for the recovery of uncertain costs	Reopener submission: Industrial emissions
111	SpC 5E	Arrangements for the recovery of uncertain costs	Reopener submission: Pipeline diversion
112	SpC 5E	Arrangements for the recovery of uncertain costs	Reopener submission: Quarry & loss of development
113	SpC 5E	Arrangements for the recovery of uncertain costs	Reopener submission: One-off asset health
114	SpC 5E	Arrangements for the recovery of uncertain costs	Reopener submission: Network flexibility
115	SpC 6D	Arrangements for the recovery of SO uncertain costs	Reopener submission: SO security costs
116	5D	The Innovation Roll-out Mechanism	Reopener submission: Innovation Roll-out Mechanism (IRM)
117	SpC 2F	Network Innovation Competition (NIC)	Project bid
118	SpC 2D	Permit Arrangements for the	Applications for Incremental Obligated Exit Capacity

		provision of incremental capacity	
119		RIIO-T2 Business Plan	Elements to be listed separately as appropriate
120		Any other submission related to an uncertainty mechanism under RIIO-T1	

## Annex F: Current submission list for Gas Transmission Operators<sup>8</sup>

No	Licence Condition	Condition title/ table number	Required Information
<b>REGULAR SUBMISSIONS</b>			
<b>Gas transmission - Costs and outputs RIGs tables</b>			
1	SSC A40	1.1 Income Statement: Finance	Standard form of each licensee's Profit & Loss / Statement of Comprehensive Income, consistent with the Regulatory Accounts.
2	SSC A40	1.2 Financial Position: Finance	Standard form of each licensee's cash flow position consistent with the Regulatory Accounts.
3	SSC A40	1.3 Cashflow: Finance	Standard form of each licensee's cash flow position consistent with the Regulatory Accounts.
4	SSC A40	1.4 Rec to cost tables: Finance	Reconcile Opex and Capex balances derived from the Regulatory Accounts to the values reported in the cost tables.
5	SSC A40	1.5 Net Debt: Finance	Details of all debt instruments and associated financial derivatives by type.
6	SSC A40	1.6 Disposals: Finance	Information relating to fixed asset disposals.
7	SSC A40	1.7 Tax computation: Finance	Show how the licensee arrives at the current tax charge
8	SSC A40	1.8 Tax pools: Finance	Annual additions in the regulatory financial year and movements in capital allowances for the licensee.
9	SSC A40	1.9 Tax allocations: Finance	Allocation of Totex spend to capital allowance pools for the licensee consistent with the numbers in the Regulatory Accounts for the year.
10	SSC A40	1.10 Tax allocations CT600: Finance	Allocation of Totex spend to capital allowance pools for the licensee consistent with the CT600 tax return submitted.
11	SSC A40	1.11 Tax clawback: Finance	Collate Net Debt and Net Interest information. This information will inform the calculation of the claw back of the tax benefit due to excess gearing as specified in RIIO-T1.
12	SSC A40	1.12 Financing requirements: Finance	High-level cash flow for the succeeding two regulatory years and the financing requirements over the same period.
13	SSC A40	1.13 Pension DB Scheme: Finance	Data relating to defined benefit (DB) pension scheme, obtained from pension scheme accounts and updated valuations.
14	SSC A40	2.1 Totex PCFM: Totex	Provide the Totex expenditure inputs to inform the Annual Iteration Process of the Price Control financial Model (PCFM).
15	SSC A40	2.2 Totex forecast: Totex	Summary of total opex and capex data for the actual reporting year and high level forecasts for the whole of the price control period.
16	SSC A40	2.3 Totex: Totex	Totex data to be published on the TO's website
17	SSC A41	2.4 Outputs: Totex	Outputs data to be published on the TO's website
18	SSC A40	3.1 Opex Summary: Opex	Breakdown of cash controllable costs into activities within business support, closely associated indirect and direct costs.
19	SSC A40	3.2 Year on year movement: Opex	Explain the reasons for increases and decreases in costs year on year of £0.5m or more (these are the net increases and decreases year on year in table 3.1a).
20	SSC A40	3.3 Asset management opex: Opex	The amount of cash controllable operating costs spent on fault repairs, planned inspections and maintenance, vegetation management, operational property management, BT 21 CN tele protection and offshore transmission project,

<sup>8</sup> Some rows are shaded grey. This indicates that the submission is marked as not relevant in the current Risk assessment template

21	SSC A40	3.4 Business Support Group: Opex	Provide net and gross cash controllable cost analysis of business support costs that are charged to the UK regulated network businesses (and to non regulated entities where appropriate).
22	SSC A40	3.5 Business Support Allocation: Opex	To trace the group net cash controllable costs (from table 3.4) to individual activity allocated net cash controllable costs including any cost transfers to/from direct activity functions of the company's organisation.
23	SSC A40	3.6 Business Support Supplement: Opex	Additional information required to effectively monitor and understand business support cost drivers and allocations
24	SSC A40	3.7 Operational Training: Opex	Record the numbers and costs of training employees engaged on formal training and apprentice programmes including staff costs as well as other operational training costs.
25	SSC A40	3.8 Salary and FTE numbers: Opex	Total transmission and business support gross staff costs and FTEs
26	SSC A40	3.9 Exc & Demin: Opex	Costs relating to Excluded, Consented, and De Minimis services provided by the transmission business by type of service.
27	SSC A40	3.10 Provisions: Opex	Details of the provisions that have affected the results so that Ofgem can understand any significant events happening in the year.
28	SSC A40	3.11 Related Party Transactions: Opex	Services provided to the transmission business and other GB regulated network businesses by each related party.
29	SSC A40	3.12 IRM Expenditure: Opex	Costs and other data relating to IRM schemes designed to rollout a proven innovation.
30	SSC A40	3.13 NIA Expenditure: Opex	Report the amounts spent under the Network Innovation Allowance (NIA).
31	SSC A40	3.14 NIC Expenditure: Opex	Expenditure from the NIC Project bank account for any NIC project that is being implemented. The expenditure is recorded by project.
32	SSC A40	3.15 PSUP Opex: Opex	Opex spent on physical security in relation to DECC's enhanced physical security upgrade programme (PSUP).
33	SSC A40	3.16 Quarry loss: Opex	Details of accruals and cash payments relating to quarry and other loss of development claims.
34	SSC A40	4.1 Capex summary: Capex	Information relating to the licensee's actual capital expenditure in the reporting year and forecast expenditure for future years.
35	SSC A40	4.2 Project listing: Capex	List all current projects to install assets on the NTS system.
36	SSC A40	4.3 Capex Unit Cost: Capex	Current capex spend for completed projects.
37	SSC A40	4.4 Primary assets compr pipelines: Capex	Out-turn cost of primary assets commissioned during the reporting year, i.e. compressor stations and pipelines.
38	SSC A40	4.4 Primary assets compr units: Capex	Out-turn cost of major components of compressor stations, i.e. compressor units.
39	SSC A40	4.5 Non Op Capex (TO): Capex	Expenditure on TO non operational capex.
40	SSC A40	4.6 SO Capex: Capex	Expenditure on SO capex.
41	SSC A40	4.8 Physical security capex: Capex	Capex spent on physical security in relation to DECC's enhanced physical security upgrade programme (PSUP).
42	SSC A40	5.1 System characs: Network data	High-level information relating to physical characteristics of the transmission network, showing changes year on year.
43	SSC A40	5.2 Activity indicators: Network data	Key indicators of the overall level of transmission activity.
44	SSC A40	5.3 Utilisation & performance: Network data	Information relating to the overall size and quality of transmission service delivered.
45	SSC A40	5.4 Demand & capability: Network data	Key indicators of overall levels of capacity booked and levels of actual demand.
46	SSC A40	5.5 Compressor utilisation: Network data	Data on overall compressor utilisation and enable year on year comparisons to inform about changing patterns of supply and demand.



47	SSC A40	5.6 Environmental: Network data	Data on the environmental performance of the National Transmission System (NTS) so as to be able to link to throughput, and compare trends year on year.
48	SSC A40	5.7 Asset data: Network data	List all assets installed on the NTS system.
49	SSC A40	5.8 Forecast Scenarios: Network data	Information to identify entry and exit forecast parameters which help to inform network reinforcement investment decisions.
50	SSC A40	6.1 Customer satisfaction: Outputs	Results from surveys that the transmission owners are required to carry out under the customer/stakeholder satisfaction output. The
51	SSC A40, covering: SpC 2C (part)	6.2 Business carbon footprint: Outputs	Information on the licensee business carbon footprint (in tonnes of CO2 equivalent).
52	SSC A40	6.3 Gas incremental capacity: Outputs	Information on needs for incremental capacity over time and details of how this is delivered by NGGT.
53	SSC A40	6.4 Gas constraints & TSS: Outputs	Information about the costs and revenues associated with NGGT's constraint management actions and the actions in procuring transportation support services (TSS).
54	SSC A40	6.5 Physical capability: Outputs	Background information useful for understanding the demands for and capability to provide incremental capacity at the NTS and/or network flexibility expenditure.
55	SSC A40, covering: SpC 7D (part), SpC 7E (part)	6.6 Cond & risk entry points: Outputs 6.6 Cond & risk exit points: Outputs 6.6 Cond & risk comps: Outputs 6.6 Cond & risk pipelines: Outputs 6.6 Cond & risk multijunction: Outputs	Secondary asset information on current and forecast asset health, criticality and replacement priorities to assess performance against business plans and reported expenditure.
56	SSC A40	7.1 Operating margins: System operator	Information about the availability, utilisation and cost of Operating Margins.
57	SSC A40, covering: SpC 3D (part)	7.2 NTS shrinkage (revenue): System operator	Information in relation to performance against the shrinkage incentive.
58	SSC A40, covering: SpC 3D (part)	7.3 NTS Shrinkage (prompt): System operator	Information relating to Prompt Volume and Price Targets in relation to the Shrinkage Incentive.
59	SSC A40, covering: SpC 3D (part)	7.4 NTS Shrinkage (gas trades): System operator	Information relating to underlying gas trades taken in relation to the Shrinkage Incentive.
60	SSC A40, covering: SpC 3D (part)	7.5 NTS Shrinkage (elec trades): System operator	Information relating to underlying electricity trades taken in relation to the Shrinkage Incentive.
61	SSC A40	7.6 Res Bal Overview: System operator	Incentive revenues in relation to the Residual Gas Balancing Incentive.
62	SSC A40	7.7 Res Bal Data: System operator	Data in relation to the Daily Price Incentive Payment and Daily Linepack Incentive Payment which make up the Residual Gas Balancing Incentive revenue.
63	SSC A40	7.8 DF Overview: System operator	Headline incentive revenues under the Demand Forecasting Incentive.
64	SSC A40	7.9 DF Data: System operator	Breakdown of information of inputs into the Demand Forecasting Incentive.
65	SSC A40	7.10 DF Adjustment: System operator	Information about relevant adjustments for the Day Ahead component of the Demand Forecasting Incentive.
66	SSC A40, covering: SpC 3D (part)	7.11 GHG Incentive revenue: System operator	Report performance against the Greenhouse Gas Emissions Incentive.
67	SSC A40, covering: SpC 3D (part)	7.12 GHG Venting data: System operator	A breakdown of information about venting by vent type in relation to the Greenhouse Gas Emissions Incentive.
68	SSC A40	7.13 Maintenance IR: System operator	Information in relation to the Maintenance Incentive.

**Gas transmission - Revenue reporting RIGs**

69	SSC A40	Revenue reporting RIGs	
<b>Gas Transporter - Standard conditions</b>			
70	SLC 45	Undertaking from Ultimate Controller	Schedule of undertakings
<b>NGGT - Standard special conditions</b>			
71	SSC A4	Charging – General	Statement on charges to be applied.
72	SSC A5	Obligations as Regard Charging Methodology	Report on the application of the charging methodology
73	SSC A30	Regulatory Accounts	Regulatory accounts, prepared under the same applicable accounting framework as the most recent or concurrent statutory accounts of the licensee.
74	SSC A34	Appointment of Compliance Officer	Report on compliance officer duties
75	SSC A37	Availability of Resources	Certificate 1F, 2F, or 3F in relation to the licensee's resources (under paragraph 2 of the condition) and accompanying documents required under paragraph 3.
76	SSC A40	Price Control Review Information	RIGs narrative
77	SSC A40	Price Control Review Information	Pension Deficit Allocation Methodology dataset (Pension RIGs)
78	SSC A48	Last Resort Supply: Payment Claims	Statement on charges, in respect of each year in which it increases or decreases charges.
79	SSC A55	Data Assurance requirements	Network Data Assurance Report (NetDAR)
80	SSC B4	Notification of changes that may affect eligibility for certification	Written declaration on eligibility for certification.
<b>NGGT - Special conditions</b>			
81	SpC 2C	Stakeholder Satisfaction Output	Carry out a survey to assess customer satisfaction and/or stakeholder satisfaction.
82	SpC 3B	Entry Capacity and Exit Capacity Constraint Management	statement of Constraint Management cost allocation rules.
83	SpC 3BL	Obligation to produce statement of Capacity Constraint Management cost allocation rules	statement of constraint management cost allocation rules, setting out the rules it must apply in attributing constraint management costs for the purposes of part D and part E of this condition
84	SpC 3D	NTS System Operator external incentives, costs and revenues	Shrinkage Incentive Methodology Statement and report from IA
85	SpC 3D	NTS System Operator external incentives, costs and revenues	Greenhouse Gas Emissions Project Costs
86	SpC 7	Long Term Development Statement	Annual statement with respect to each of the 10 succeeding years beginning with 1 October
87	SpC 7B	Transmission Planning Code	Not less than once in every period of two Formula Years, review the TPC in consultation with interested parties likely to be materially affected by the review.
88	SpC 7C	Licensee's Network Model	Not less than once in every period of two Formula Years, review the Network Model to ensure that it continues to meet the Network Model Objectives
89	SpC 7D	Methodology for Network Output Measures	(a) information (whether historical, current, or forward-looking) about the Network Output Measures; supported by (b) such relevant other data and such examples of network modelling, as may be specified for the purposes of this condition in any Regulatory Instructions and Guidance ("RIGs")

90	SpC 7E	Specification of Network Replacement Outputs	Network Replacement Outputs, analysis or information, and in accordance with such timescales, as the Authority considers is reasonably necessary to enable it to undertake its assessment for the purposes of its determination under paragraph 7E.4 of this condition.
91	SpC 7E-B	Specification of Network Replacement Outputs - Procedure for assessing Network Outputs and associated Price Control Allowed Expenditure Adjustments	Network output performance report
92	SpC 8A	System Management Services	report on System Management Services bought or acquired in the year, compliance with System Management Principles and report from IA
93	SpC 8C	Procurement of Operating Margins	Operating margins report
94	SpC 8E	Requirement to undertake UAG Projects to investigate the causes of Unaccounted for Gas (UAG)	UAG report and publication
95	SpC 8G	Maintenance and Operational Planning	Annual maintenance plan
96	SpC 8H	Greenhouse Gas Emissions Calculation Methodology	report on Greenhouse Gas Emissions Calculation Methodology
97	SpC 9A	Entry Capacity and Exit Capacity Obligations and Methodology Statements	Provide a report on the application and implementation of the methodologies and IA report
98	SpC 9B	Methodology to determine the release of Entry Capacity and Exit Capacity volumes	Prepare and submit capacity release methodology statements
99	SpC 9C	Methodology to determine revenue drivers	Generic entry and exit revenue driver methodology statements.
100	SpC 10C	Appointment and duties of the business separation compliance officer	Annual report
101	SpC 11B	Allocation of revenues and costs for calculations under the price control in respect of the NTS Transportation Owner Activity and NTS System Operation Activity	A statement setting out methodology used in the allocation and attribution of revenues and costs, and how it complied.
102	SpC 11D	Energy Administration: NTS Shortfall Contribution Obligations	A statement on modification of charges in respect of each period of 12 months ending on 31 March.
103	SpC 11E	Restriction of Prices for Liquefied Natural Gas (LNG) Storage Services	A report in writing stating the volume and price of all Storage Capacity sold in respect of each relevant year.
104	SpC 11F	Gas Conveyed to Independent Systems	A statement setting out the Bulk Price Differential and other payments made to DN Operators relating to Independent Systems

**NGGT - Other**

105	Section 33F, Gas Act 1986	Remuneration and service standards	Disclosure on Directors' remuneration.
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**IRREGULAR SUBMISSIONS**

<b>Irregular submission examples</b>			
10 6	SSC A39	Indebtedness	Statement of amounts held in escrow
10 6	RIIO-T1 - Final Proposals	Mid period review submission	
10 7	SpC 5E	Arrangements for the recovery of uncertain costs	Reopener submission: Enhancement of physical security
10 8	SpC 6D	Arrangements for the recovery of SO uncertain costs	Reopener submission: SO security costs
10 9	5D	The Innovation Roll-out Mechanism	Reopener submission: Innovation Roll-out Mechanism (IRM)
11 0	SpC 2F	Network Innovation Competition (NIC)	Project bid
11 1	SpC 2D	Permit Arrangements for the provision of incremental capacity	Applications for Incremental Obligated Exit Capacity
11 2		RIIO-T2 Business Plan	Elements to be listed separately as appropriate
11 3		Any other submission related to an uncertainty mechanism under RIIO-T1	

## Annex G: Updated submission list for Gas Distribution Operators<sup>9</sup>

No	Licence Condition	Condition title/ table number	Required Information
<b>REGULAR SUBMISSIONS</b>			
<b>Gas Distribution - Costs and outputs RIGs tables</b>			
1	SSC A40	1.1 Income Statement: Finance	Information on each licensee's income and expenditure as reported in the Regulatory accounts.
2	SSC A40	1.2 Financial Position: Finance	Information on the Licensee's assets and liabilities
3	SSC A40	1.3 Cash Flow: Finance	Information on cash movements for each licensee within the regulatory year.
4	SSC A40	1.4 Rec to costs tables: Finance	Information consistently collated on the three major cost categories referred to in Totex: Opex, Repex and Capex.
5	SSC A40	1.5 Net Debt : Finance	High level data of all borrowing, guarantees and financial derivative instruments, interest rates on debt, repayment dates and cash and short term investments.
6	SSC A40	1.6 Disposals: Finance	Information relating to fixed asset disposals, to enable Ofgem understand the nature of the disposals and for logging up purposes compared to assumed disposal levels in the PCFM.
7	SSC A40	1.7 Tax Computation: Finance	Consistently collate information on the tax charge liable in the regulatory year and how it was arrived at.
8	SSC A40	1.8 Tax pools: Finance	Annual additions to and movements in capital allowance pools during the regulatory year. It is laid out in such a way, that the licensee can populate it with information on capital allowances on the same basis as in the licensee's corporation tax returns.
9	SSC A40	1.9 Tax Allocations: Finance	Allocation of Load Related Capex (ALC), Controllable Opex (ACO), Other Capex (AOC) and Repex (ARE) to capital allowance pools for each licensee consistent with the numbers in the Regulatory Accounts for the year.
10	SSC A40	1.10 Tax Allocations CT600: Finance	Allocation of Load Related Capex (ALC), Controllable Opex (ACO), Other Capex (AOC) and Repex (ARE) to capital allowance pools for each licensee consistent with the CT600 tax return.
11	SSC A40	1.11 Tax Clawback: Finance	Net Debt and Net Interest information that will be used in the PCFM to calculate any tax gearing clawback
12	SSC A40	1.12 Financing Requirements: Finance	High level cashflow for the succeeding two regulatory years and the forecasted financing requirements for those periods.
13	SSC A40	1.13 DB Pension scheme: Finance	Recent data relating to defined benefit (DB) pension scheme, obtained from pension scheme accounts and updated valuations.
14	SSC A40	2.1 Totex PCFM: Summary tables	Aggregates data contained in table 3.1 opex cost matrix, 4.1 capex summary and 5.1 repex summary to give provisional inputs for the totex lines included in the PCFM.
15	SSC A40	2.2 Totex costs summary: Summary tables	Summarises the actual costs and provide forecast of costs for the remaining years of RIIO-GD1 period (and where required, by Ofgem, into RIIO-GD2).
16	SSC A40	2.3 Workload summary: Summary tables	Summarises the actual workloads and provide forecast workloads for the remaining years of RIIO-GD1 period (and where required, by Ofgem, into RIIO-GD2).
17	SSC A40	2.4 Safety: Summary tables	Summarise the output performance of the GDN for safety, including actual and forecast data for the RIIO-GD1 period (and where required, by Ofgem, into RIIO-GD2).
18	SSC A40	2.5 Reliability: Summary tables	Summarise the output performance of the GDN for reliability, including actual and forecast data for the RIIO-GD1 period (and where required, by Ofgem, into RIIO-GD2).

<sup>9</sup> Some rows are shaded grey. This indicates that the submission is marked as not relevant in the current Risk assessment template

19	SSC A40	2.6 Environmental: Summary tables	Summarise the output performance of the GDN for environmental, including actual and forecast data for the RIIO-GD1 period (and where required, by Ofgem, into RIIO-GD2).
20	SSC A40	3.1 Opex cost matrix: Opex	Details of the operating expenses incurred within the main cost activities by the GDNs to support benchmarking, trend analysis, and monitoring performance against the allowances. This table also collects details regarding the GDNs Full Time Equivalent (FTE) staff numbers within the main cost areas, as well as Related Party margins.
21	SSC A40	3.2 Year on year movements: Opex	Analysis of the reasons for the movements in each activity from the previous year.
22	SSC A40	3.3 FCO Resource Utilisation: Opex	Analysis of First Call Operative (FCO) costs broken down by activity.
23	SSC A40	3.4 Business Support Group: Opex	Net and gross cash controllable cost analysis of business support costs that are charged to the UK regulated network businesses (and to non regulated entities where appropriate).
24	SSC A40	3.7 Training & Apprentices: Opex	Numbers and costs of training employees engaged on formal training and apprentice programmes including staff costs as well as other operational training costs.
25	SSC A40	3.8 Maintenance: Opex	Analysis of maintenance activities annual spend.
26	SSC A40	3.9 LP Gasholders: Opex	Information on annual low pressure (LP) gasholders demolition costs.
27	SSC A40	3.10 Land remediation: Opex	Information relating to statutory and non statutory land remediation. This includes the remediation of sites relating demolished gas holders.
28	SSC A40	3.11 Related Party Transact : Opex	Analysis of the nature and size of services provided to the distribution business and other GB regulated network businesses by each related party.
29	SSC A40	3.12 Shrinkage: Opex	Shrinkage gas split by component and LDZ which allows for the monitoring of annual shrinkage volumes and costs.
30	SSC A40	3.12a Gas Theft NEW 2014_15	Information on gas theft
31	SSC A40	3.13 Streetworks: Opex	Annual street works expenditure and associated workload.
32	SSC A40	3.14 Smart Metering: Opex	High level smart metering costs
33	SSC A40	3.15 SIUs: Opex	Data in preparation for a potential income adjusting event.
34	SSC A40	4.1 Capex Summary : Capex	Summary of the information contained in the capex tables 4.3 – 4.7.
35	SSC A40	4.2 Cap Expenditure Analysis: Capex	Analysis of the total net capital expenditure into three categories allowing the impact of real price effects for different work activities to be understood.
36	SSC A40	4.3 LTS, storage & entry: Capex	Expenditure and workload data for LTS pipelines, LTS diversions, NTS offtakes & other direct feeds, pressure reduction stations (PRSs), and storage.
37	SSC A40	4.4 Reinforcement: Capex	Expenditure and workload data for general and specific reinforcement on the below 7 bar network, including governors.
38	SSC A40	4.5 Governor(Replacement): Capex	Data relating to district and service governor replacement and decommissioning activities.
39	SSC A40	4.6 Connections : Capex	Expenditure and workload data for the provision of new mains and services to supply new and existing domestic and non-domestic premises.
40	SSC A40	4.7 Other Capex : Capex	Data for other capital expenditure in specified categories.
41	SSC A40	4.8 PSUP: Capex	Capex and opex spent on physical security in relation to DECC's Physical Security Upgrade Programme (PSUP).
42	SSC A40	5.1 Repex summary: Repex	Summary of the information contained in the repex tables 5.2-5.8.

43	SSC A40	5.2a Repex iron mains Tier 1: Repex	Cost and workload information for Tier 1 mains and associated service work enforced by the HSE under their Policy for the Iron Mains Risk Reduction Programme.
44	SSC A40	5.2b Repex iron mains Tier 2A: Repex	Cost and workload information for Tier 2A mains and associated service work enforced by the HSE under their Policy for the Iron Mains Risk Reduction Programme.
45	SSC A40	5.2c Repex other mains: Repex	Cost and workload information for mains and associated service work where the mains do not meet the criteria for reporting under tables 5.2(a) and 5.2(b).
46	SSC A40	5.2d Repex diversions: Repex	Costs incurred and the workload associated with carrying out rechargeable mains diversions (RD) non rechargeable mains diversions (NRD) and associated service work.
47	SSC A40	5.3 Other repex services: Repex	Cost and workload incurred in replacing services that are not associated with the decommissioning of mains.
48	SSC A40	5.4 Risers: Repex	Information to provide Ofgem with visibility of GDNs position with regards to its level of understanding of the risk associated with risers and the costs and workload associated with the replacement and refurbishment of GDNs gas supply infrastructure.
49	SSC A40	5.5 Repex expenditure analysis: Repex	Analyses total repex expenditure in tables 5.1 – 5.4 into three types of expenditure.
50	SSC A40	5.6 UNC Sub Deducts: Repex	Costs and workload data on GDNs mitigating of risk associated with UNC sub-deduct networks.
51	SSC A40	5.7 Mains decommissioned: Repex	Details of individual pipes decommissioned during the year.
52	SSC A40	5.8 Decommissioned summary: Repex	Summary of the decommissioned lengths by extracting reported data in table 5.7.
53	SSC A40	6.1 LTS Asset Data: Network assets	Non-financial data movements in total length of pipelines (by diameter and operating pressure) during the period. Also includes sundry other LTS population data.
54	SSC A40	6.2 Network Assets: Network assets	Pipeline, governor and services asset population data and detailed movements in in the distribution pipeline asset population though the reporting period.
55	SSC A40	6.3 Capacity&Storage Asset : Network assets	Non-financial data movements in the amount of storage capacity (by storage type).
56	SSC A40	6.4 Capacity & Demand Data: Network assets	Data by exit zone based on the 1 in 20 planning scenario and annual throughput.
57	SSC A40	6.5 Capacity Output Data: Network assets	Capacity outputs data.
58	SSC A40	6.6 MEAV: Network assets	Information from sheets 6.1-6.4 necessary for calculating the MEAV (modern equivalent asset value).
59	SSC A40	7.1 Safety Outputs: Outputs	Information on the GDNs' performance in delivering their current safety obligations.
60	SSC A40	7.2 Reliability Outputs: Outputs	Information on GDNs network reliability, enabling Ofgem to monitor progress in achieving the targeted outputs.
61	SSC A40	7.3 Asset Health & Criticality: Outputs	Secondary deliverables information on current asset health, criticality, and risk indices to assess performance against business plans and reported expenditure.
62	SSC A40, covering: SSC D10 (part)	7.4 PREs, Reports and Repairs : Outputs	Additional data to understand network condition and expenditure requirements.
63	SSC A40	7.5 Accuracy pipeline records: Outputs	Data in relation to the recording of new, modified or decommissioned mains enabling Ofgem to measure GDNs performance in maintaining accurate mains records.
64	SSC A40	7.6 Business Carbon Footprint: Outputs	Quantification of all aspects of a GDNs' non-shrinkage business carbon footprint (BCF) in tonnes of CO2 equivalent. This will allow the footprint of each Licensee to be individually assessed.
65	SSC A40	7.7 Environment-Other: Outputs	Data on specified environmental indicators.
66	SSC A40	7.8 Dist Gas Connections: Outputs	Costs associated with each distributed gas connection.
67	SSC A40	7.9 Innovation rollout mechanis: Outputs	Costs and other data relating to schemes designed to rollout a proven innovation.

68	SSC A40	7.10 Network Innovation Allowan: Outputs	Amounts being claimed through the NIA funding mechanism.
69	SSC A40	7.11 Network Innovation Competi: Outputs	Expenditure from the NIC Project bank account for any NIC project that is being implemented.
70	SSC A40	8.1 Customer Complaints: QoS/GSOPs	Information on customer complaints to the GDN and complaints to the Energy Ombudsman.
71	SSC A40	8.2 Customer Satisfaction Surve: QoS/GSOPs	Results of the customer satisfaction survey component of the Broad Measure of Customer Satisfaction.
72	SSC A40, covering: SSC D10 (part)	8.3 Guaranteed Standards : QoS/GSOPs	Information relating to quality of service standards (QoS) and guaranteed standards of performance (GSOP).
73	SSC A40, covering: SSC D10 (part)	8.4 Licence Condition D10: QoS/GSOPs	Auto-populated with data from other tables. The only data to be entered relates to SSC D10(2)(f) responding to telephone calls.
74	SSC A40, covering: SSC D10 (part)	8.5 3rd party & water summary : QoS/GSOPs	Data in relation to: the number of domestic/non-domestic payments, the number of properties restored, 3rd party and water ingress incidents.
75			
76	SSC A40	Revenue reporting RIGs	Main sheet for inputting data
77			
78	SLC 3	Payments by the Licensee to the Authority	Report on no of customers
79	SLC 4A	Obligations as Regards Charging Methodology	A report on the application of the methodology for charging gas shippers during the 12 months preceding 1st October in that year
80	SLC 45	Undertaking from Ultimate Controller	Schedule of undertakings
81			
82	SSC A4	Charging – General	Statement on charges to be applied.
83	SSC A5	Obligations as Regard Charging Methodology	Report on the application of the charging methodology
84	SSC A30	Regulatory Accounts	Regulatory accounts, prepared under the same applicable accounting framework as the most recent or concurrent statutory accounts of the licensee.
85	SSC A34	Appointment of Compliance Officer	Report on compliance officer duties
86	SSC A37	Availability of Resources	Certificate 1F, 2F, or 3F in relation to the licensee's resources (under paragraph 2 of the condition) and accompanying documents required under paragraph 3.
87	SSC A40	Price Control Review Information	RIGs Narrative
88	SSC A40	Price Control Review Information	Pension Deficit Allocation Methodology dataset (Pension RIGs)
89	SSC A48	Last Resort Supply: Payment Claims	Statement on charges, in respect of each year in which it increases or decreases charges.
90	SSC A55	Data Assurance requirements	Network Data Assurance Report (NetDAR)
91	SSC D5	Licensee's procurement and use of constraint management services	A report in respect of the constraint management services which the licensee has bought or acquired in the previous formula year.
92	SSC D10	Quality of service standards	QoS reports and statements.
93	SSC D16	Reporting on Performance	Information specified by the Authority relating to matters that it reasonably considers are relevant to the licensee's customers in relation to Standard Special Condition D13 (Provision of services for specific domestic customer groups), Standard Special Condition D14 (Arrangements for access to premises)
94	SSC D18	Provision of Metering and Meter Reading Services	Revisions to statements on (a) the basis upon which charges for the provision of services of a type described in paragraph 1 will be made; and (b) information relating to the other terms that will apply to the provision of each service.



95			
96	SpC 1F.14	Revenue adjustments for performance in respect of gas Shrinkage and environmental emissions	A report setting out the actual leakage volumes and actual shrinkage volumes.
97	SpC 1F.31	Revenue adjustments for performance in respect of gas Shrinkage and environmental emissions	Shrinkage and Leakage Smart Meter (SLSM) Report. Single report for all GDNs.
98	SpC 4B-C	Allocation of revenues and costs for calculations under the price control in respect of the Distribution Network - Statement of the methods to be used by the Licensee	Method statement that sets how the methods that the Licensee intends to use in the allocation and attribution of revenues and costs.
99	SpC 4B-E	Allocation of revenues and costs for calculations under the price control in respect of the Distribution Network - Statement of the methods to be used by the Licensee	A method report on extent of compliance with the method statement on allocation of revenues and costs.
100	SpC 4H	Specification of Network Outputs	Network output performance report
101			
102	Section 33F, Gas Act 1986	Remuneration and service standards	Disclosure on Directors' remuneration.
<b>IRREGULAR SUBMISSIONS</b>			
<b>Irregular submission examples</b>			
103	SSC A39	Indebtedness	Statement of amounts held in escrow
104	RIIO-GD1 - Final Proposals	Mid period review submission	
105	SpC 3F	Arrangements for the recovery of uncertain costs	Reopener submission: Connection Charging Boundary Change Costs
106	SpC 3F	Arrangements for the recovery of uncertain costs	Reopener submission: Enhanced Physical Site Security Costs
107	SpC 3F	Arrangements for the recovery of uncertain costs	Reopener submission: Large Load Connection Costs
108	SpC 3F	Arrangements for the recovery of uncertain costs	Reopener submission: Specified Streetwork Costs
109	SpC 3F	Arrangements for the recovery of uncertain costs	Reopener submission: Smart Meter Roll-out Costs
110	SpC 3D	The Innovation Roll-out Mechanism	Reopener submission: Innovation Roll-out Mechanism (IRM)
111	SpC 3I	Network Innovation Competition (NIC)	Project bid
112		RIIO-GD2 Business Plan	Elements to be listed separately as appropriate
113		Any other submission related to an uncertainty mechanism under RIIO-GD1	

## Annex H: Current submission list for Gas Distribution Operators<sup>10</sup>

No	Licence Condition	Condition title/ table number	Required Information
<b>REGULAR SUBMISSIONS</b>			
<b>Gas Distribution - Costs and outputs RIGs tables</b>			
1	SSC A40	1.1 Income Statement: Finance	Information on each licensee's income and expenditure as reported in the Regulatory accounts.
2	SSC A40	1.2 Financial Position: Finance	Information on the Licensee's assets and liabilities
3	SSC A40	1.3 Cash Flow: Finance	Information on cash movements for each licensee within the regulatory year.
4	SSC A40	1.4 Rec to costs tables: Finance	Information consistently collated on the three major cost categories referred to in Totex: Opex, Repex and Capex.
5	SSC A40	1.5 Net Debt : Finance	High level data of all borrowing, guarantees and financial derivative instruments, interest rates on debt, repayment dates and cash and short term investments.
6	SSC A40	1.6 Disposals: Finance	Information relating to fixed asset disposals, to enable Ofgem understand the nature of the disposals and for logging up purposes compared to assumed disposal levels in the PCFM.
7	SSC A40	1.7 Tax Computation: Finance	Consistently collate information on the tax charge liable in the regulatory year and how it was arrived at.
8	SSC A40	1.8 Tax pools: Finance	Annual additions to and movements in capital allowance pools during the regulatory year. It is laid out in such a way, that the licensee can populate it with information on capital allowances on the same basis as in the licensee's corporation tax returns.
9	SSC A40	1.9 Tax Allocations: Finance	Allocation of Load Related Capex (ALC), Controllable Opex (ACO), Other Capex (AOC) and Repex (ARE) to capital allowance pools for each licensee consistent with the numbers in the Regulatory Accounts for the year.
10	SSC A40	1.10 Tax Allocations CT600: Finance	Allocation of Load Related Capex (ALC), Controllable Opex (ACO), Other Capex (AOC) and Repex (ARE) to capital allowance pools for each licensee consistent with the CT600 tax return.
11	SSC A40	1.11 Tax Clawback: Finance	Net Debt and Net Interest information that will be used in the PCFM to calculate any tax gearing clawback
12	SSC A40	1.12 Financing Requirements: Finance	High level cashflow for the succeeding two regulatory years and the forecasted financing requirements for those periods.
13	SSC A40	1.13 DB Pension scheme: Finance	Recent data relating to defined benefit (DB) pension scheme, obtained from pension scheme accounts and updated valuations.
14	SSC A40	2.1 Totex PCFM: Summary tables	Aggregates data contained in table 3.1 opex cost matrix, 4.1 capex summary and 5.1 repex summary to give provisional inputs for the totex lines included in the PCFM.
15	SSC A40	2.2 Totex costs summary: Summary tables	Summarises the actual costs and provide forecast of costs for the remaining years of RIIO-GD1 period (and where required, by Ofgem, into RIIO-GD2).
16	SSC A40	2.3 Workload summary: Summary tables	Summarises the actual workloads and provide forecast workloads for the remaining years of RIIO-GD1 period (and where required, by Ofgem, into RIIO-GD2).
17	SSC A40	2.4 Safety: Summary tables	Summarise the output performance of the GDN for safety, including actual and forecast data for the RIIO-GD1 period (and where required, by Ofgem, into RIIO-GD2).
18	SSC A40	2.5 Reliability: Summary tables	Summarise the output performance of the GDN for reliability, including actual and forecast data for the RIIO-GD1 period (and where required, by Ofgem, into

<sup>10</sup> Some rows are shaded grey. This indicates that the submission is marked as not relevant in the current Risk assessment template

			RIIO-GD2).
19	SSC A40	2.6 Environmental: Summary tables	Summarise the output performance of the GDN for environmental, including actual and forecast data for the RIIO-GD1 period (and where required, by Ofgem, into RIIO-GD2).
20	SSC A40	3.1 Opex cost matrix: Opex	Details of the operating expenses incurred within the main cost activities by the GDNs to support benchmarking, trend analysis, and monitoring performance against the allowances. This table also collects details regarding the GDNs Full Time Equivalent (FTE) staff numbers within the main cost areas, as well as Related Party margins.
21	SSC A40	3.2 Year on year movements: Opex	Analysis of the reasons for the movements in each activity from the previous year.
22	SSC A40	3.3 FCO Resource Utilisation: Opex	Analysis of First Call Operative (FCO) costs broken down by activity.
23	SSC A40	3.4 Business Support Group: Opex	Net and gross cash controllable cost analysis of business support costs that are charged to the UK regulated network businesses (and to non regulated entities where appropriate).
24	SSC A40	3.5 Business Support Allocation: Opex	Trace the group net cash controllable costs (from table 3.4) to individual activity allocated net cash controllable costs including any cost transfers to/from direct activity functions of the company's organisation.
25	SSC A40	3.6 Business Support Supplement: Opex	Additional information required to effectively monitor and understand business support cost drivers and allocations
26	SSC A40	3.7 Training & Apprentices: Opex	Numbers and costs of training employees engaged on formal training and apprentice programmes including staff costs as well as other operational training costs.
27	SSC A40	3.8 Maintenance: Opex	Analysis of maintenance activities annual spend.
28	SSC A40	3.9 LP Gasholders: Opex	Information on annual low pressure (LP) gasholders demolition costs.
29	SSC A40	3.10 Land remediation: Opex	Information relating to statutory and non statutory land remediation. This includes the remediation of sites relating demolished gas holders.
30	SSC A40	3.11 Related Party Transact : Opex	Analysis of the nature and size of services provided to the distribution business and other GB regulated network businesses by each related party.
31	SSC A40	3.12 Shrinkage: Opex	Shrinkage gas split by component and LDZ which allows for the monitoring of annual shrinkage volumes and costs.
32	SSC A40	3.13 Streetworks: Opex	Annual street works expenditure and associated workload.
33	SSC A40	3.14 Smart Metering: Opex	High level smart metering costs
34	SSC A40	3.15 SIUs: Opex	Data in preparation for a potential income adjusting event.
35	SSC A40	4.1 Capex Summary : Capex	Summary of the information contained in the capex tables 4.3 – 4.7.
36	SSC A40	4.2 Cap Expenditure Analysis: Capex	Analysis of the total net capital expenditure into three categories allowing the impact of real price effects for different work activities to be understood.
37	SSC A40	4.3 LTS, storage & entry: Capex	Expenditure and workload data for LTS pipelines, LTS diversions, NTS offtakes & other direct feeds, pressure reduction stations (PRSs), and storage.
38	SSC A40	4.4 Reinforcement: Capex	Expenditure and workload data for general and specific reinforcement on the below 7 bar network, including governors.
39	SSC A40	4.5 Governor(Replacement): Capex	Data relating to district and service governor replacement and decommissioning activities.

40	SSC A40	4.6 Connections : Capex	Expenditure and workload data for the provision of new mains and services to supply new and existing domestic and non-domestic premises.
41	SSC A40	4.7 Other Capex : Capex	Data for other capital expenditure in specified categories.
42	SSC A40	4.8 PSUP: Capex	Capex and opex spent on physical security in relation to DECC's Physical Security Upgrade Programme (PSUP).
43	SSC A40	5.1 Repex summary: Repex	Summary of the information contained in the repex tables 5.2-5.8.
44	SSC A40	5.2a Repex iron mains Tier 1: Repex	Cost and workload information for Tier 1 mains and associated service work enforced by the HSE under their Policy for the Iron Mains Risk Reduction Programme.
45	SSC A40	5.2b Repex iron mains Tier 2A: Repex	Cost and workload information for Tier 2A mains and associated service work enforced by the HSE under their Policy for the Iron Mains Risk Reduction Programme.
46	SSC A40	5.2c Repex other mains: Repex	Cost and workload information for mains and associated service work where the mains do not meet the criteria for reporting under tables 5.2(a) and 5.2(b).
47	SSC A40	5.2d Repex diversions: Repex	Costs incurred and the workload associated with carrying out rechargeable mains diversions (RD) non rechargeable mains diversions (NRD) and associated service work.
48	SSC A40	5.3 Other repex services: Repex	Cost and workload incurred in replacing services that are not associated with the decommissioning of mains.
49	SSC A40	5.4 Risers: Repex	Information to provide Ofgem with visibility of GDNs position with regards to its level of understanding of the risk associated with risers and the costs and workload associated with the replacement and refurbishment of GDNs gas supply infrastructure.
50	SSC A40	5.5 Repex expenditure analysis: Repex	Analyses total repex expenditure in tables 5.1 – 5.4 into three types of expenditure.
51	SSC A40	5.6 UNC Sub Deducts: Repex	Costs and workload data on GDNs mitigating of risk associated with UNC sub-deduct networks.
52	SSC A40	5.7 Mains decommissioned: Repex	Details of individual pipes decommissioned during the year.
53	SSC A40	5.8 Decommissioned summary: Repex	Summary of the decommissioned lengths by extracting reported data in table 5.7.
54	SSC A40	6.1 LTS Asset Data: Network assets	Non-financial data movements in total length of pipelines (by diameter and operating pressure) during the period. Also includes sundry other LTS population data.
55	SSC A40	6.2 Network Assets: Network assets	Pipeline, governor and services asset population data and detailed movements in in the distribution pipeline asset population though the reporting period.
56	SSC A40	6.3 Capacity&Storage Asset : Network assets	Non-financial data movements in the amount of storage capacity (by storage type).
57	SSC A40	6.4 Capacity & Demand Data: Network assets	Data by exit zone based on the 1 in 20 planning scenario and annual throughput.
58	SSC A40	6.5 Capacity Output Data: Network assets	Capacity outputs data.
59	SSC A40	6.6 MEAV: Network assets	Information from sheets 6.1-6.4 necessary for calculating the MEAV (modern equivalent asset value).
60	SSC A40	7.1 Safety Outputs: Outputs	Information on the GDNs' performance in delivering their current safety obligations.
61	SSC A40	7.2 Reliability Outputs: Outputs	Information on GDNs network reliability, enabling Ofgem to monitor progress in achieving the targeted outputs.
62	SSC A40	7.3 Asset Health & Criticality: Outputs	Secondary deliverables information on current asset health, criticality, and risk indices to assess performance against business plans and reported expenditure.
63	SSC A40, covering:	7.4 PREs, Reports and Repairs : Outputs	Additional data to understand network condition and expenditure requirements.

	SSC D10 (part)		
64	SSC A40	7.5 Accuracy pipeline records: Outputs	Data in relation to the recording of new, modified or decommissioned mains enabling Ofgem to measure GDNs performance in maintaining accurate mains records.
65	SSC A40	7.6 Business Carbon Footprint: Outputs	Quantification of all aspects of a GDNs' non-shrinkage business carbon footprint (BCF) in tonnes of CO2 equivalent. This will allow the footprint of each licensee to be individually assessed.
66	SSC A40	7.7 Environment-Other: Outputs	Data on specified environmental indicators.
67	SSC A40	7.8 Dist Gas Connections: Outputs	Costs associated with each distributed gas connection.
68	SSC A40	7.9 Innovation rollout mechanis: Outputs	Costs and other data relating to schemes designed to rollout a proven innovation.
69	SSC A40	7.10 Network Innovation Allowan: Outputs	Amounts being claimed through the NIA funding mechanism.
70	SSC A40	7.11 Network Innovation Competi: Outputs	Expenditure from the NIC Project bank account for any NIC project that is being implemented.
71	SSC A40	8.1 Customer Complaints: QoS/GSOPs	Information on customer complaints to the GDN and complaints to the Energy Ombudsman.
72	SSC A40	8.2 Customer Satisfaction Surve: QoS/GSOPs	Results of the customer satisfaction survey component of the Broad Measure of Customer Satisfaction.
73	SSC A40, covering: SSC D10 (part)	8.3 Guaranteed Standards : QoS/GSOPs	Information relating to quality of service standards (QoS) and guaranteed standards of performance (GSOP).
74	SSC A40, covering: SSC D10 (part)	8.4 Licence Condition D10: QoS/GSOPs	Auto-populated with data from other tables. The only data to be entered relates to SSC D10(2)(f) responding to telephone calls.
75	SSC A40, covering: SSC D10 (part)	8.5 3rd party & water summary : QoS/GSOPs	Data in relation to: the number of domestic/non-domestic payments, the number of properties restored, 3rd party and water ingress incidents.
<b>Gas Distribution - Revenue reporting RIGs</b>			
76	SSC A40	Revenue reporting RIGs	Main sheet for inputting data
<b>Gas Transporter - Standard conditions</b>			
77	SLC 3	Payments by the Licensee to the Authority	Report on no of customers
78	SLC 4A	Obligations as Regards Charging Methodology	A report on the application of the methodology for charging gas shippers during the 12 months preceding 1st October in that year
79	SLC 45	Undertaking from Ultimate Controller	Schedule of undertakings
<b>Gas Distribution - Standard special conditions</b>			
80	SSC A4	Charging - General	Statement on charges to be applied.
81	SSC A5	Obligations as Regard Charging Methodology	Report on the application of the charging methodology
82	SSC A30	Regulatory Accounts	Regulatory accounts, prepared under the same applicable accounting framework as the most recent or concurrent statutory accounts of the licensee.
83	SSC A34	Appointment of Compliance Officer	Report on compliance officer duties
84	SSC A37	Availability of Resources	Certificate 1F, 2F, or 3F in relation to the licensee's resources (under paragraph 2 of the condition) and accompanying documents required under paragraph 3.
85	SSC A40	Price Control Review Information	RIGs Narrative
86	SSC A40	Price Control Review Information	Pension Deficit Allocation Methodology dataset (Pension RIGs)
86	SSC A48	Last Resort Supply: Payment Claims	Statement on charges, in respect of each year in which it increases or decreases charges.
87	SSC A55	Data Assurance requirements	Network Data Assurance Report (NetDAR)

88	SSC D5	Licensee's procurement and use of constraint management services	A report in respect of the constraint management services which the licensee has bought or acquired in the previous formula year.
89	SSC D10	Quality of service standards	QoS reports and statements.
90	SSC D16	Reporting on Performance	Information specified by the Authority relating to matters that it reasonably considers are relevant to the licensee's customers in relation to Standard Special Condition D13 (Provision of services for specific domestic customer groups), Standard Special Condition D14 (Arrangements for access to premises)
91	SSC D18	Provision of Metering and Meter Reading Services	Revisions to statements on (a) the basis upon which charges for the provision of services of a type described in paragraph 1 will be made; and (b) information relating to the other terms that will apply to the provision of each service.
<b>Gas Distribution - Special conditions</b>			
92	SpC 1F.14	Revenue adjustments for performance in respect of gas Shrinkage and environmental emissions	A report setting out the actual leakage volumes and actual shrinkage volumes.
93	SpC 1F.31	Revenue adjustments for performance in respect of gas Shrinkage and environmental emissions	Shrinkage and Leakage Smart Meter (SLSM) Report. Single report for all GDNs.
94	SpC 4B-C	Allocation of revenues and costs for calculations under the price control in respect of the Distribution Network - Statement of the methods to be used by the Licensee	Method statement that sets how the methods that the Licensee intends to use in the allocation and attribution of revenues and costs.
95	SpC 4B-E	Allocation of revenues and costs for calculations under the price control in respect of the Distribution Network - Statement of the methods to be used by the Licensee	A method report on extent of compliance with the method statement on allocation of revenues and costs.
96	SpC 4H	Specification of Network Outputs	Network output performance report
<b>Gas Distribution - Other</b>			
97	Section 33F, Gas Act 1986	Remuneration and service standards	Disclosure on Directors' remuneration.
<b>IRREGULAR SUBMISSIONS</b>			
<b>Irregular submission examples</b>			
98	SSC A39	Indebtedness	Statement of amounts held in escrow
99	RIIO-GD1 - Final Proposals	Mid period review submission	
100	SpC 3F	Arrangements for the recovery of uncertain costs	Reopener submission: Connection Charging Boundary Change Costs
101	SpC 3F	Arrangements for the recovery of uncertain costs	Reopener submission: Enhanced Physical Site Security Costs
102	SpC 3F	Arrangements for the recovery of uncertain costs	Reopener submission: Large Load Connection Costs
103	SpC 3F	Arrangements for the recovery of uncertain costs	Reopener submission: Specified Streetwork Costs
104	SpC 3F	Arrangements for the recovery of uncertain costs	Reopener submission: Smart Meter Roll-out Costs
105	SpC 3D	The Innovation Roll-out Mechanism	Reopener submission: Innovation Roll-out Mechanism (IRM)
106	SpC 3I	Network Innovation Competition (NIC)	Project bid
107		RIIO-GD2 Business Plan	Elements to be listed separately as appropriate
108		Any other submission related to an uncertainty mechanism under RIIO-GD1	