

RIO-T2/GD2/ED2/GT2/NESO Exceptional Submission

Assurance Template

Company	
Sector	
Networks	
Name of Exceptional Submission	
Required by ¹	
Required information	
Submission date	

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¹ State licence condition or provide other explanation (e.g. in response to request from Ofgem...)

Version History

Version No.	Changes	Purpose	Author	Release Date
2.1	Decision		Ofgem	May 22
2.2	Decision		Ofgem	March 22
2.3	Decision		Ofgem	January 24
2.4	Consultation		Ofgem	December 24

General guidance on completing this report template:

- Boxes shaded in yellow should be completed.
- Each section and subsection should be completed.
- Licensees may add additional subheadings within sections/subsections
- Additional sections should be added as appendices.

1 Risk Assessment and Data Assurance Done for Exceptional Submission

Guidance on completing this section:

This is the main body of the document, containing a review of what was done to assure the Data. This section must explain the purpose of the report, any assumptions made and include the Risk assessment results (impact score, probability score and total risk rating). It may also include optional further commentary with specific focus on the findings from the Data Assurance Activities e.g.:

- *For high and critical Risk Exceptional Submissions, a brief explanation of the main cause of high, critical Risks (driver of high impact and/or probability scores).*
For high and critical Risks, explanation of Data Assurance Activities, detailing the purpose, desired outcome, deadlines and completion date (completed or ongoing) of the activities. Licensee may make reference to any relevant NetDAR narratives on Data Assurance Activities, organisational control and governance as set out in paragraphs 1.1-1.3 of the NetDAR template).
- *why the Data Assurance Activities were appropriate and why they have been selected in preference to other available options.*

Supporting documentation

i.	Please include details of written documentation of assurance (audit reports, sign off documents) if any.
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2. Material Errors Identified in Previous Related Submissions

Guidance on completing this section:

Include an explanation of any Material Errors identified up until the submission date (not only in the previous 12 months period but any time in the current price control period). If the Material Errors have been identified relating to the Exceptional Submission and:

- ***reported in other DAG reports to Ofgem e.g. NetDAR, please include references to the reports.***
- *not reported in any other DAG reports to Ofgem, include an explanation of the material errors identified. This will include the following:*
 - *Statement on incomplete, inaccurate or late submissions.*
 - *Material Error description.*
 - *Material Error identification date.*
 - *Material Error impact score and description of realised impact of the error.*
 - *Was the Material error corrected? When?*
 - *What Data Assurance activity will be undertaken to prevent future occurrence?*