

RIIO-T1/GD1/ED1 DATA ASSURANCE

Irregular Submission Assurance Report

Company	National Grid Plc
Sector	Electricity Transmission
Networks	ET
Name of Irregular Submission	NGET Non-Operational IT Reopener Application – April 2021
Required by¹	A55 Data Assurance Requirements
Required information	Irregular Submission Assurance Report
Submission date	8 th April 2021

Contents

1	Risk Assessment and Data Assurance Done for Irregular Submission.....	3
2	Errors Identified in Previous Related Submission.....	4

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
1.0	For consultation		Ofgem	17/12/14
1.1	Changed report title to "Irregular Submissions Assurance Report"	Final Decision	Ofgem	03/02/15

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 Irregular 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 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 assurance activities eg:

- *For high and critical risk 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, details of data assurance activities, including actions (with purpose, desired outcome, deadlines, completion date, completed or ongoing).*
- *Why the data assurance activities were appropriate and why they have been selected in preference to other available options.*

Risk Assessment

This Data Assurance assessment is applicable to the reopener application for Non-operational IT under licence obligation Special Condition 3.7, of the National Grid Electricity Transmission Licence specifying a requirement for NGET to submit a Non-operational IT Plan and Re-opener application between 1st April and 8th April 2021.

This Data Assurance Assessment has been completed as per Ofgem's Data Assurance Guidance (DAG). Whilst this approach has been followed Ofgem should note that the criterion used in the assessment are not necessarily the most insightful when considering submissions of this nature.

The components of the risk assessment have been scored as **Medium** on this submission. Our attached DAG risk assessment outlines the scoring we have applied.

Network X			Impact Metric					Probability Metric								Total
Sector: Electricity Transmission				a	b	c	d	Inherent Probability Metric				Control Metric				Risk
No.	Licence Condition	Summary	Impact Metric	Customers	Competition	Financial	Comparative efficiency	Complexity	Completeness	Manual Intervention	Reporting rules	Control framework	Experience of personnel	Evidence of historical errors	Probability Metric	Impact/probability matrix calculated total risk
1	SpC 3.7	ET Non-Operational IT Reopener Application	2	2	1	2	1	4	3	4	4	0	1	2	3	M

Due to the nature of the submission, the Inherent Probability scores for the complexity of data sources, manual intervention and reporting rules are rated

as 4. The data required a lot of manual intervention as it was derived from several sources and is complex and bespoke in nature.

Governance

This application has been governed by the Electricity Transmission Delivery Board which is chaired by the Director of UK Regulation. The President of Electricity Transmission and Electricity Chief Information Officer also attended this forum.

Planning

The Regulation T2 Strategy Manager was responsible for the delivery of the application supported by the ET Delivery Optimisation Manager & IT Lead Project Manager. The application was facilitated through multi-disciplinary teams made up of experts from Regulation, ET, IT and Operations.

Review

The Regulatory Reporting Team reviewed the process for establishing how working files were constructed, including the review processes performed by the relevant Finance Business Partners.

No areas of concern were noted.

Sign-off

The Head of ET Regulation gave the final approval for this application.

To enable this approval, a process was established which required the Delivery Optimisation Manager, Regulatory Strategy Manager, Lead IT Project Manager, IT Business Consultant, TNCC Network Manager, ET Project Engineer, ET Finance Business Partner, Senior Finance Business Partner and Regulatory Reporting and Assurance Manager to sign off their respective areas as approved.

Supporting documentation

i.	None.
----	-------

2 Errors Identified in Previous Related Submission

Guidance on completing this section:

Include an explanation of any material errors identified up until the submission date of the annex (not only in the previous 12 months period but any time in the past). Please include the following:

- *Which submission the error relates to.*
- *Statement on incomplete, inaccurate or late submissions.*
- *Error description.*
- *Error identification date.*
- *Error impact score and description of realised impact of the error.*
- *Was the error corrected? When?*

▪ <i>What assurance activity will be undertaken to prevent future occurrence?</i>
N/A

Supporting documentation

ii.	None.
-----	-------