

# Licence compliance framework for all licensees: New approach to compliance monitoring and reporting

Utility Regulator Instructions and Guidance

September 2024



## About the Utility Regulator

The Utility Regulator is the independent non-ministerial government department responsible for regulating Northern Ireland's electricity, gas, water and sewerage industries, to promote the short and long-term interests of consumers.

We are not a policy-making department of government, but we make sure that the energy and water utility industries in Northern Ireland are regulated and developed within ministerial policy as set out in our statutory duties.

We are governed by a Board of Directors and are accountable to the Northern Ireland Assembly through financial and annual reporting obligations.

We are based at Queens House in the centre of Belfast. The Chief Executive and two Executive Directors lead teams in each of the main functional areas in the organisation: CEO Office; Price Controls, Networks and Energy Futures, Markets, Consumer Protection and Enforcement. The staff team includes economists, engineers, accountants, utility specialists, legal advisors and administration professionals.



## Abstract

We are introducing a new and enhanced licence compliance monitoring and reporting framework for all licensees. The new compliance framework comprises of two core pillars – ongoing/routine monitoring of licence compliance, and the annual assurance process. Our new framework will deliver robust, consistent and proportionate licence compliance for all licensees alongside the introduction of a new external reporting regime which underpins the two core pillars.

## Audience

This new framework will be of particular interest to the licensed companies we regulate. However, as licence compliance is of critical importance for the functioning of the market, this paper will also be of interest to consumer representative bodies, community/voluntary sector organisations, other regulatory bodies, government and other stakeholders.

## Consumer impact

This new framework will deliver an enhanced, proportionate, consistent, and effective licence compliance framework across all licence types and licence holders. This will help to provide assurance on licensees' compliance with their licences which is fundamental in achieving market effectiveness and consumer protection for all consumers.

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# 1. Summary and Introduction

- 1.1 The Utility Regulator has a statutory responsibility for the regulation of gas, electricity, water, and sewerage services in Northern Ireland.
- 1.2 We perform our statutory duties in accordance with the following key legislation:
  - The Energy (Northern Ireland) Order 2003;
  - The Gas (Northern Ireland) Order 1996;
  - The Electricity (Northern Ireland) Order 1992; and
  - The Water and Sewerage Services (Northern Ireland) Order 2006.
- 1.3 We hold the companies we regulate to account with these legislative requirements for which we are responsible and as included in the above legislation. We also issue licences, subject to the satisfaction of certain criteria, to a wide range of companies who wish to operate in the electricity, gas, and water markets.
- 1.4 A fundamental function of our regulation activity is the ongoing monitoring of regulated companies' compliance with the licence obligations under which they operate. This activity is a core focus of our work and is applicable to all licence types and licence holders.
- 1.5 We want licensees to be innovative, successful, responsive to market changes and, at the same time, deliver the essential energy and water services needed by all consumers across Northern Ireland. By adhering to the requirements of their licence, licensees are supported in achieving this aim and are able to deliver effective outcomes for consumers. This is why licence compliance and consistency of approach is the central focus of this new framework.
- 1.6 We take a collaborative approach in our engagement with all our regulated companies and stakeholders and this approach extends to our compliance monitoring and reporting activities. We believe that working together and ensuring open dialogue on licence and market issues helps ensure the best outcomes for consumers. Compliance with licence requirements is central to that engagement and is a core pillar of consumer protection and market performance / success.
- 1.7 Our approach to compliance must be robust, consistent, and proportionate in order to deliver the right outcome for consumers and

ensure market confidence. This includes taking the appropriate steps when licensees do not comply with their licence requirements.

## **Our vision for protecting consumers on the way to net zero**

- 1.8 We set out our vision for protecting consumers on the way to net zero in our new Corporate Strategy 2024 – 2029<sup>1</sup>. This strategy emphasises that the companies we regulate should aim to be the best, raising the bar on the services they provide to consumers both in terms of customer service and consumer protection. Strategic objective 3 of that strategy, enabling best in class energy and water companies, focuses on that goal. We will ensure that our energy and water companies compare to the best, improve competition in energy markets through targeted regulatory frameworks, and ensure our compliance and enforcement framework strengthens the culture of compliance across licensed companies and anticipates changing consumer needs.
- 1.9 In support of the delivery of our Corporate Strategy, we published our Forward Work Programme (FWP) 2024/2025<sup>2</sup>. The FWP is our annual business plan which sets out the non-routine projects we plan to do in the forthcoming year. We consulted on the Draft FWP 2024/2025 in December 2023 and welcomed the feedback on our proposals. We published our decision paper at the end of March 2024 and committed to undertaking a range of projects to achieve our strategic objectives.
- 1.10 In this document, we signalled that we would be undertaking a project to develop and implement a new licence compliance framework which includes three main aspects: to design and deliver a robust, consistent, and proportionate compliance reporting and monitoring framework, publish a guidance document for licensees detailing the new approach, and design and implement an external reporting framework for licence compliance activities across all licensees.
- 1.11 This project seeks to build on the current compliance activity undertaken across the organisation to ensure consistency across all licensees and enhance our approach. This will ensure consumers continue to be protected during the ongoing market transition towards net zero, and throughout their engagement with all of the energy and water companies operating in the market.
- 1.12 We are committed to ensuring that the energy and water companies we regulate are compliant with their licence obligations and seek to work in

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<sup>1</sup> [Protecting Consumers on the way to Net Zero – Utility Regulator launches new Corporate Strategy 2024-2029 | Utility Regulator \(uregni.gov.uk\)](#)

<sup>2</sup> [Forward Work Programme 2024/2025 published | Utility Regulator \(uregni.gov.uk\)](#)

collaboration with all licensees to achieve that aim. The best consumer outcomes are achieved when we work together to address market issues and seek to remedy any licence compliance issues through early intervention and collaboration with licensees. We encourage all market participants to let us know at the earliest opportunity when a licence compliance issue arises. This will help to ensure we can work together to ensure compliance is resumed at the earliest opportunity, that mitigations are put in place to prevent reoccurrence, and that the market continues to operate in the most effective and efficient manner.

- 1.13 Our collaborative approach does not replace or restrict our enforcement powers. We will continue to take enforcement action where necessary to ensure the interests of consumers are protected and to ensure that regulated companies comply with their obligations. Enforcement action is a key element in holding the companies to account, it also acts as a deterrent, and provides a route to recompense where there has been consumer harm and / or detriment.
- 1.14 This instructions and guidance document sets out the fundamental principles and processes included in our new and enhanced licence compliance framework for all licensees.
- 1.15 We will be holding an information session with licensees on **21 November 2024** to provide instruction and guidance on our new compliance framework and licensee requirements. This includes the completion of the annual assurance process and the requirements around the ongoing routine monitoring of licence compliance. Further details on this session will be published on our website in due course.

## 2. UR licence compliance framework

2.1 The new compliance monitoring framework comprises of two core pillars (shown in Figure 1 below):

1. Routine monitoring of licence compliance; and
2. Annual assurance process known as the Statement of Licence Compliance (SoLC).

An external reporting regime underpins both pillars of the licence compliance monitoring framework.

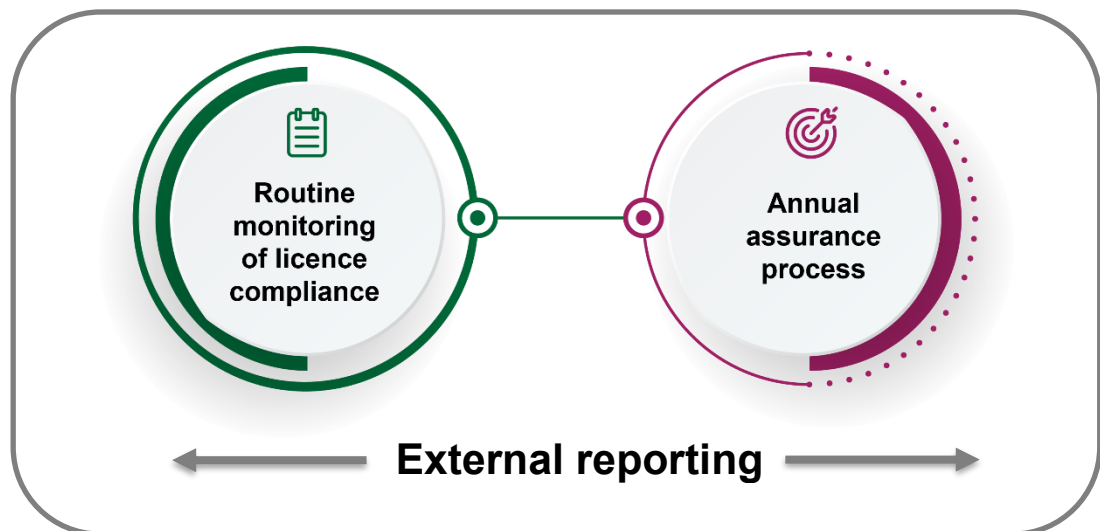


Figure 1: Licence compliance monitoring framework

### Routine monitoring of licence compliance

2.2 Routine monitoring of licence compliance is the first pillar of the licence compliance approach. It is the responsibility of all licensees to ensure compliance with their licence(s) at all times. This responsibility extends to notifying us promptly at the earliest available opportunity of any issues that affect their compliance with their licence obligations throughout the year - whether through circumstance, accident, or design. This is the central focus of the compliance framework.

2.3 We aim to work with licensees on any areas of potential non-compliance to ensure the consumer impact is minimised and compliance can resume at the earliest opportunity. This approach requires the licensee to proactively engage with us on any such issues as they arise and identify



the steps and action they will take or have already taken to remedy the matter.

- 2.4 It is a condition of every licence that the licensee must provide us such information or reports that we consider necessary in the light of the licence conditions, or that we require for the purpose of performing our functions. We regard this obligation as particularly important since the receipt by us of accurate and timely information is essential to enable us to meet our statutory objectives.
- 2.5 We are requesting this compliance information under the relevant 'Provision of Information to the Authority' licence condition in each licence type for the purposes of this compliance monitoring and reporting framework. For clarity, we will be writing to all licence holders citing the relevant licence condition under which we are requesting this information applicable to the licences they hold. Failure to provide such information will be considered itself a compliance issue and will be subject to further investigation in line with this compliance framework and/or our published enforcement procedure.
- 2.6 Once the licensee has identified a potential compliance issue<sup>3</sup>, they should notify us and complete a compliance pro forma<sup>4</sup>. This compliance pro forma should provide details of the potential compliance issue, associated impacts, the cause of the issue and subsequent corrective/preventative actions. The licensee should also record when compliance resumed/will resume. The pro forma template is included in annex 1 and will be available to all licensees on our website.
- 2.7 We will then engage with the licensee to address any relevant points of clarification and identify if any further action is necessary.
- 2.8 In addition to the self-reporting by licensees, there may be occasions where compliance issues / contraventions are identified by other means, including but not limited to:
- Complaints / Whistleblowers;
  - Information shared internally across UR Directorates;
  - Information provided by regulated companies;
  - Information from consumer bodies;
  - Market queries;
  - Discussion at industry groups or forums; or
  - Audits of regulated companies.

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<sup>3</sup> Potential compliance issues do not include 'near misses' where the Licensee has taken action to prevent a compliance issue from occurring. We are not expecting a compliance pro forma in these instances.

<sup>4</sup> Word document version

- 2.9 In these circumstances, after internal review of the information received, we will make contact with the licensee in the first instance to request that a compliance pro forma is completed and submitted to us for consideration. If at any point the licensee disagrees with our assessment of a compliance issue, we will engage with each licensee on a case-by-case basis.
- 2.10 This ongoing routine compliance monitoring process will continuously feed into the annual assurance SoLC process which forms the second pillar of the licence compliance approach.
- 2.11 Once we receive and log the compliance pro forma, engagement will commence with the licensee to resolve the issue to a satisfactory outcome. This could be, for example, in the form of a compliance plan, action taken by the licensee, advice, or an escalation to the Compliance and Enforcement (C&E) team for further investigation.
- 2.12 It is important that licensees have the systems and processes in place to track compliance with their licence and complete this routine monitoring and reporting function. We require licensees to be open, transparent, and collaborative in their routine engagement with us on such compliance matters.

## **Annual Statement of Licence Compliance (SoLC)**

- 2.13 The second pillar of the licence compliance approach requires all licensees to provide assurance on an annual basis that they are compliant with their licence, this is/will be known as the Statement of Licence Compliance (SoLC).
- 2.14 As noted above, licence compliance is central to ensuring consumer protection and market performance. Compliance must therefore be a central focus of the work of licensees and that focus must run through all levels of the organisation. This compliance starts from the point of licence award and all licensees should have the systems and processes in place to ensure compliance. Our annual assurance process simply seeks confirmation of compliance at the highest level within the licensed companies.
- 2.15 This annual assurance process will not be new to energy suppliers who have engaged in this annual assurance process since 2016. For energy suppliers, this process will remain relatively unchanged within the new compliance monitoring framework. However, this is now being extended to ensure consistency of approach and to apply to all licence types and licence holders.

- 2.16 Each December we will issue an annual SoLC initiation letter to each licensee along with a bespoke SoLC excel template and assurance letter template. This letter will detail what is required from each licensee as part of the process and the assurances sought.
- 2.17 Licensees will be required to provide their returns by the end of February each year, providing the relevant assurances for the reporting period which is the previous calendar year (January – December). As with the routine monitoring of compliance activity, this information is requested from all licensees under the applicable licence condition relating to Provision of Information to the Authority for the purpose of monitoring compliance and ensuring that regulated companies comply with their licence obligations. This condition will be cited in the annual SoLC initiation letter. Failure to provide such information will be considered itself a compliance issue and will be subject to further investigation in line with this compliance framework and/or our published enforcement procedure.
- 2.18 A timeline outlining the annual SoLC process is provided below:

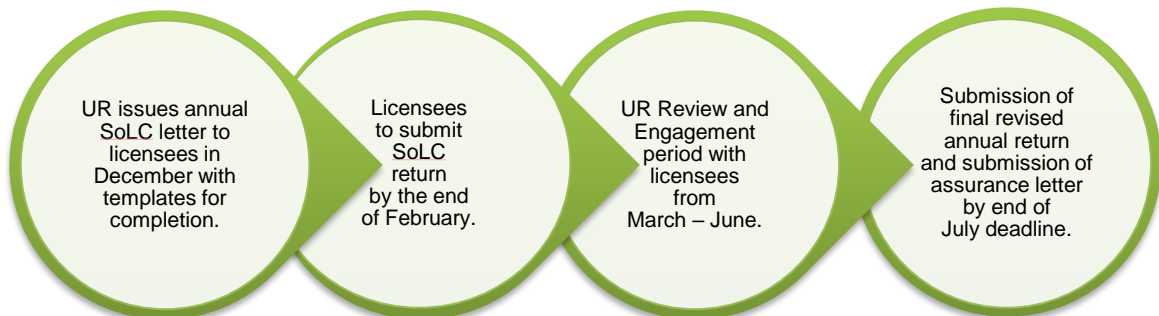


Figure 2: Annual SoLC process

- 2.19 The template which will accompany the initiation letter will outline all conditions of the relevant licence to which the licensee must indicate compliance. For each licence condition, the licensee must complete the SoLC template using the following definitions:
- **C: Compliant** – the company was compliant with every clause of each part of the Condition and any documents pursuant to the licence condition (for example Network Codes or Codes of Practice) for the entire twelve-month reporting period.
  - **CI: Compliance Issue** – the company has experienced an instance or

instances of potential non-compliance with the relevant condition, a sub-paragraph therein, or any document pursuant to the licence condition.

The current classification of 'CI' applies to:

- ◆ Any instance of potential non-compliance regardless of duration or extent. Any licence condition<sup>5</sup> in this category will require the completion of a compliance pro forma. Should the company have more than one 'CI' within the relevant licence condition, a separate compliance pro forma for each issue must be completed.
- ◆ Any potential compliance issue<sup>6</sup> which was subject to investigation<sup>7</sup> by us during the reporting year. The company should make clear in the 'comments' section of the SoLC tab which sub-paragraphs of the condition are currently under investigation or had been under investigation during the reporting year – a compliance pro forma will not be required for these issues<sup>8</sup>.
- **NA: Not Applicable** – this condition does not apply to the company. Conditions marked NA must include an explanation of why the condition does not apply: for example, a supply licensee may be active in the Industrial and Commercial non-domestic (I&C) market only and specific clauses relate exclusively to domestic customers or, the licence condition has not been 'switched on'. If a condition is marked NA without an explanation the submission will be returned to the licensee for further clarification.

2.20 As part of the annual SoLC return, we may request additional supplementary information relating to a specific licence condition. Detail of any supplementary information required will be provided to the licensee at the commencement of the annual SoLC process.

2.21 Once completed, the licensee should return the SoLC excel template<sup>9</sup> along with any supplementary information relevant to certain conditions within the licence (if applicable).

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<sup>5</sup> Licensees are still required, however, to include a compliance pro forma for any non-related issues under the same licence condition not subject to investigation.

<sup>6</sup> Potential compliance issues do not include 'near misses' where the Licensee has taken action to prevent a compliance issue from occurring. We are not expecting a compliance pro forma in these instances.

<sup>7</sup> This applies to any item that is/had been subject to investigation at any point in the UR Enforcement Procedure (initial enquiries or Enforcement Action Stages I, II, III or IV).

<sup>8</sup> Licensees are still required, however, to include a compliance pro forma for any non-related issues under the same licence condition not subject to investigation.

<sup>9</sup> Annex 2 – Example of SoLC template

- 2.22 This process should reflect the routine licence compliance monitoring and reporting undertaken across the entirety of the year. A licensee should not wait to the annual assurance process to make us aware of a compliance issue and issues previously identified should already be known to us, where possible.
- 2.23 A new compliance pro forma should be created by the licensee within the SoLC excel template for each compliance issue reported. This includes both new issues and those that have already been reported to us during the reporting year. This pro forma is the same as the pro forma used as part of the routine compliance monitoring pillar of the compliance framework. It should provide the current and up to date details of the compliance issue, associated impacts, the cause of the issue and subsequent corrective/preventative actions. The licensee should record when compliance resumed/will resume. Please note, any aspect of the pro forma that is lacking the required detail will be returned to the licensee for rework and the submission deemed incomplete.
- 2.24 Once the licensee has submitted their SoLC template by the deadline at the end of February, the process of engagement begins between the UR and the licensee.
- 2.25 The SoLC will be reviewed and checked against all ongoing compliance pro formas which have been submitted during the previous calendar year. If any issues / queries are identified in the SoLC submission, these will be returned to the licensee with feedback and a date for required resubmission will be provided.
- 2.26 The process of engagement between us and the licensee (via submission, review, and return of feedback) continues until we are content that all necessary amendments have been made to the SoLC and all potential compliance issues have been identified, recorded, and addressed<sup>10</sup> for each licensee.
- 2.27 As part of the process of review and engagement with licensees we may request additional information to support the review process. We will aim to complete this part of the engagement process before the end of May. This is to allow licensees the time to respond to any final requests and to allow us to make the necessary checks required to finalise the SoLC process however, we will engage with all licensees to work to a shorter turnaround where possible.

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<sup>10</sup> Resolved through, for example, a compliance plan, steps taken by the licensee, engagement, or escalation to C&E for further investigation.

- 2.28 Once we are satisfied with the information provided, an annual assurance letter must be provided. A template for this letter will be sent to each licensee along with their annual SoLC initiation letter each year<sup>11</sup>. This assurance letter should be signed off at CEO/Managing Director level within the organisation and licensees should have the processes in place to satisfy the CEO/MD that the information provided in the SoLC return is accurate. This will include a declaration that the company was compliant with its licence in accordance with the SoLC return for the period covered by the SoLC process only. This assurance letter will document those potential compliance issues identified during the reporting period as well as any issues that remain from the previous reporting period. The SoLC assurance letter is a retrospective declaration of licence compliance for the previous calendar year.
- 2.29 Following our final verification of the materials submitted, the licensee will then receive confirmation that the SoLC process for the reporting year is complete. The deadline for the process to be closed off for all licensees is the end of July for the previous calendar year, i.e. SoLC closed off in July 2025 would refer to the calendar year of 2024.
- 2.30 The SoLC process is deemed complete for each licensee when:
- (i) The licensee has submitted a completed SoLC template with all declared compliance issues identified, documented<sup>12</sup>, and addressed to ensure any compliance plans have been established;
  - (ii) All requested supplementary information (if applicable) has been submitted; and
  - (iii) An annual assurance letter signed off at CEO/Managing Director level has been received.
- 2.31 If at the end of the SoLC process there are any ongoing compliance issues, we will continue to engage with the licensee and monitor progress until compliance is resumed.

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<sup>11</sup> This annual assurance letter may be updated from year to year to allow for any changes or requirements.

<sup>12</sup> Compliance proformas

2.32 Table 1 below outlines the key tasks and timelines for the SoLC process

Task	Due date
SoLC annual submission letter sent to each licensee along with the following templates: SoLC excel template <sup>13</sup> and annual assurance letter template <sup>14</sup> . If any supplementary information is required this will be requested at this stage.	December
Licensee deadline for submission of SoLC annual return including any relevant supplementary information (where applicable).	End of February
UR Review, engagement, and additional information request period with licensees	March – May
Final deadline for UR to request additional information from the licensee	End of May
Following UR review of all submitted information, final deadline for submission of revised SoLC Return and submission of annual assurance letter.	End of July

**Table 1 SoLC process key tasks and timelines**

2.33 Detailed instructions on how to complete the SoLC returns, and all relevant documentation will be issued to all licensees via email at the commencement of the annual process. We will also hold an information session on 21 November 2024 to show licensees how to complete the template, in advance of the commencement of the annual process.

## Enforcement action

2.34 Where appropriate and necessary, we will continue to take enforcement action in accordance with our published [Enforcement Policy Approach and Procedure](#) and our prioritisation principles.

2.35 Our Enforcement Policy Approach and Procedure enables licensees to know what to expect if they find themselves under investigation or have enforcement action commenced against them. It outlines how the process will operate, the stages of the process, and possible outcomes.

2.36 Our procedures for investigating any potential contravention and deciding to take enforcement action have been designed with due regard to the 5 principles of good regulation. We aim to be:

- targeted,

<sup>13</sup> Annex 2 – Example SoLC excel template

<sup>14</sup> Word document version

- proportionate,
  - transparent,
  - consistent, and
  - accountable.
- 2.37 Our approach to investigating any potential contravention and making enforcement related decisions is designed to be rigorous, thorough, evidence-based, and fair so as to ensure that the outcomes reached are proportionate and consistent for all licensees.

## External reporting

- 2.38 External reporting will support the new and enhanced licence compliance framework. External reporting cuts across both pillars of the framework and involves the development and implementation of an external reporting framework for compliance activities across all licensees.
- 2.39 It is normal practice for regulators to report externally on the compliance activity of licensees. Learning from best practice and market experience, we will develop and implement an external reporting framework that provides an insight into the compliance monitoring we have undertaken across the previous calendar year. We do not intend to publish any commercially sensitive information and where we do publish information relating to potential compliance issues, this will be in an anonymised format.
- 2.40 This will help to deliver further transparency into the markets we regulate and ensure consumers and stakeholders alike are suitably informed in relation to the compliance and enforcement activity we undertake. It will include details of both the routine and annual compliance monitoring processes as well as any relevant audit activity that we have undertaken across the year. We will provide a summary of relevant enforcement activity that can be published in accordance with our Enforcement Policy Approach and Procedure.
- 2.41 The report will be published following the completion of the annual assurance process with the first report expected in Autumn 2025. We will discuss the report format and contents with stakeholders prior to publication.



### 3. Next Steps

- 3.1 If a licensee identifies a potential compliance issue they should report it to us immediately, or as soon as practically possible, and submit a completed compliance pro forma<sup>15</sup> outlining the issue as per the guidance in this document.
- 3.2 Licensees now have a period of time to carry out an assessment of their current internal compliance processes and ensure that any required changes or adjustments can be implemented to meet the requirements of this framework. Note, all licensees should have the required systems and processes already in place to ensure licence compliance. This is a fundamental aspect of holding a licence. For some licensees this process changes the manner in which this compliance is reported to us. The licensee must therefore ensure they have the correct processes in place prior to the first SoLC and assurance deadline at the end of February 2025.
- 3.3 A timeline of next steps for the 2024 reporting period (January to December 2024) is outlined below:

Ongoing	Routine monitoring and reporting of compliance issues has commenced.
21 November 2024	UR information session on SoLC process and compliance framework.
Start December 2024	SoLC initiation letters issued and submission period opens.
End February 2025	SoLC submission deadline and engagement starts with UR to end of May 2025.
July 2025	Engagement completed and assurance letter submitted by licensee. SoLC process completed.

- 3.4 We appreciate that the annual assurance process will be new for a number of licensees. This will require a period of adjustment to ensure the correct systems and processes are in place within the licensees' operations to ensure the process is completed effectively. We will work closely and collaboratively with each licensee throughout the first SoLC

<sup>15</sup> Word document version

annual process.

- 3.5 Following the publication of this instructions and guidance document, we plan to hold an information session on 21 November 2024 in advance of the commencement of the 2024 SoLC process to show licensees how to complete the SoLC template. This will provide an opportunity for licensees to ask questions about completing the required submissions and for us to provide practical instructions on the SoLC process. Bilateral meetings will be facilitated on request.
- 3.6 A continuous review process will be applied to the new compliance framework. This will help us provide assurance, both internally and externally, that the new framework continues to be robust, efficient and fit-for-purpose. We will continue to learn from best practice in other markets to ensure our approach is fit for purpose and continues to operate for the benefit of consumers. As with the introduction of any new process, ongoing review will help to ensure it continues to meet its objectives as well as help us learn from market experience and develop accordingly.
- 3.7 We welcome and encourage ongoing engagement from all licensees throughout the implementation of the compliance framework. If you need to contact us for clarification on the contents of this document please email [compliance.enforcement@uregni.gov.uk](mailto:compliance.enforcement@uregni.gov.uk).

## Glossary

<b>C&amp;E</b>	Compliance and Enforcement
<b>FWP</b>	Forward work programme
<b>I&amp;C</b>	Industrial & Commercial / non-domestic market
<b>SoLC</b>	Statement of licence compliance
<b>UR</b>	Utility Regulator

## Annex 1 – Routine monitoring and reporting of licence compliance proforma

General Compliance Pro Forma  
Version: 002  
Date Issued: 10/01/2024



<b>Compliance Pro Forma</b>	
<ul style="list-style-type: none"> <li>This must be completed <b>in full</b> for all relevant instances of non-compliance.</li> <li>Where possible, please provide exact figures and dates. This will help to ensure the issue is sufficiently documented.</li> <li>Any supporting documentation/evidence can be included as attachments alongside this submission or embedded into the pro forma template below.</li> </ul>	
Company name	
Date reported to UR	
Relevant licence condition (and sub-condition if applicable)	
<b>Overview</b> Please provide a brief description of the compliance issue. This should be a high-level summary that does not exceed more than a few sentences.	
Date identified by licensee	Click or tap to enter a date.
<b>Compliance issue details</b> Please include relevant <u>s</u> pecific detail in relation to the compliance issue. This should include as a minimum: <ul style="list-style-type: none"> <li>How the issue arose / you became aware of the issue</li> <li>The cause of the issue</li> <li>The extent and timeframe of the issue, including (where relevant) the number of any customers affected</li> <li>Any associated impacts / secondary consequences</li> </ul>	
<b>Compliance plan</b> The below sections must include clear and comprehensive information on the solution identified and implemented. Compliance Plans for live/ongoing issues must include details of how and when the licensee intends to become compliant with the licence requirement.	
<b>Corrective actions</b> Please give clear information on the steps undertaken/proposed to rectify the issue and resume compliance. You should also include timelines (indicative or otherwise) for the completion of associated works.	
Date compliance resumed / Date compliance will resume	Click or tap to enter a date.
<b>Preventative actions</b> Please provide any measures that you have put in place to try and prevent this issue from reoccurring. You should also include timelines (indicative or otherwise) for the completion of associated works.	

Note: Information provided under this return may also be used by the UR in the exercise of the functions conferred upon us by Article 50(1)(b) of the Electricity (NI) Order 1992, Article 27(1)(b) of the Gas (NI) Order 1996 and Articles 60(1) and (2) of the Water and Sewerage Services (NI) Order 2006.

## Annex 2 – Example SoLC Excel template

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### Electricity supplier annual return

Company Name:	
Year:	(i.e. 2017)

### Statement of Licence Compliance

Contact details for queries on this information sheet:

Contact Name:	
Contact Telephone:	
Contact Email:	

C	<b>Compliant</b> – the company was compliant with every clause of each part of the Condition and any associated documents (for example network codes or codes of practice) <b>for the entire twelve month period.</b>
CI	<b>Compliance Issue</b> – the company has experienced an instance or instances of non-compliance with the relevant condition, a sub-paragraph therein, or any document pursuant to the licence condition. <b>Relevant Conditions Marked 'CI' will require Suppliers to complete the Compliance Proforma, which can be accessed by clicking this cell</b>
N/A	<b>Not applicable</b> - this condition does not apply to the company.

Electricity Condition	Title	Compliance status C = compliant CI = compliance issue N/A = not applicable	Comments (if necessary)
1	Interpretation and Construction		
2	Separate Accounts for Separate Businesses		
3	Compliance with the Grid Code and Distribution Code		
4	The Market Registration Framework Agreement		
5	Modification of the Single Electricity Market Trading and Settlement Code and Cancellation of contracts		
6	Security Arrangements		
7	Compulsory Acquisition of Land		
8	Powers to Carry out Road Works etc		
9	Health and Safety of Employees		
10	Provision of Information to the Authority		
11	Payment of Fees		
12	Prohibition of Cross-Subsidies		
13	Not Used		
14	Prohibition of Discrimination in Supply		
15	Duration of Discrimination Conditions		
16	Duty to offer Terms for Meter Provision		
17	Procedures for the Detection and Prevention of Theft, Damage and Meter		
18	Licensee's Apparatus on Customers' Side of Meter		
19	Provision of Information to Transmission System Operator and Market		
20	Single Electricity Market Trading and Settlement Code		
21	The PSO Agreement		
22	Supplier of Last Resort		
23	Claims for Last Resort Supply Payments		
24	Standards of Performance (applicable to suppliers of domestic customers)		
25	Classification of Premises		
25A	Balancing Market Code of Practice Principles		
25B	Capacity Market Code		
26	Duty of offer terms		
27	Terms and conditions of electricity supply contracts		
27A	Security deposits		
28	Deemed contracts		
29	Approval of the Authority to the licensee's arrangements		
30	Code of Practice payment of bills (applicable to suppliers of domestic		
31	Code of Practice provision of services pensionable age or disabled or chronically sick (applicable to suppliers of domestic customers only)		
32	Code of Practice efficient use of electricity		
33	Code of Practice Complaints Handling Procedure		
34	Code of Practice on services for prepayment meter customers (applicable to suppliers of domestic customers only)		
35	Preparation, revision of and compliance with Codes of Practice		
35A	Customer protection: modification of conditions		
36	Report on performance		
37	Relations with the General Consumer Council		
38	Provision of information to customers		
38A	Time limit on the recovery of charges		
39	Security and safety of supplies		
40	Marketing of electricity		
41	Fuel mix disclosure		
42	Wholesale contracts and electricity derivatives		
43	Facilitating supplier transfers		
44	Provision of information to electricity suppliers		
45	Business separation		
46	Code of Practice for Theft of Electricity		