



e.	SupplySystemRef	Supply system reference number – Company identifier (numerals) PREFIXED by ‘Y’ (If an asset is included in more than one supply system and the hazard and its control are the same then include the reference for each supply system separated by a semicolon (;)). See <b>Table B</b> below for specification	Optional	Alphanumeric	400	Y1234 Or Y1234;Y1235
f.	SupplySystemName	Company Name of supply system (If an asset is included in more than one supply system and the hazard and its control are the same then include the name for each supply system separated by a semicolon (;))	Optional	Free Text	2000	Northfield Supply System Northfield Supply System; Southfield Supply System
g.	Stage	Select one from controlled list of - Catchment, Abstraction, Treatment, Treatment, Bulk Supply, Distribution, Storage, Consumer. One Excel file can contain hazards for more than one type of ‘stage’	Mandatory	Text	20	Catchment
h.	HazardRef	Select one from controlled list (For multiple hazards in an asset submit one record for each hazard)	Mandatory	Alphanumeric	5	C002 [as on published list]
i.	HazardousEvent	If table is submitted in comma separated variable (.csv) format Insert in double quotation marks. This will ensure correct loading of fields in DWI’s database	Optional	Free Text	300	Valve failure
j.	PreLikelihood	Likelihood score [0 – 999999]	Optional	Integer	6	10
k.	PreConsequence	Consequence score [0 – 999999]	Optional	Integer	9	2
l.	Risk	Risk Score [0 – 999999999]	Mandatory	Integer	9	20
m.	ControlMeasureName	Name of Controls	Mandatory unless Control Measure Details (n.) or Control Group (o.) supplied	Free Text	600	Catchment management

n.	ControlMeasureDetails	[Description example – Free Text] If table is submitted in comma separated variable (.csv) format Insert in double quotation marks. This will ensure correct loading of fields in DWI’s database	Mandatory unless Control Measure Name (m.) or Control Group (o.) supplied	Free Text	800	Works shutdown until Raw water quality improves
o.	ControlMeasureGroup	[Description example – Free Text] If table is submitted in comma separated variable (.csv) format Insert in double quotation marks. This will ensure correct loading of fields in DWI’s database	Mandatory unless Control Measure Name (m.) or Control Measure Details (n.) supplied	Free Text	80	Treatment
p.	PostLikelihood	Likelihood score [0 – 999999]	Optional	Integer	6	8
q.	PostConsequence	Consequence score [0 – 999999]	Optional	Integer	9	2
r.	ResidualRisk	Company Risk Score [0 – 999999999]	Mandatory	Integer	9	16
s.	ParametersMonitored	List parameters monitored add DWI Parameter names (IL 6/2003, Annex C - add codes separated by semicolons (;))	Mandatory unless Parameter Monitoring Suite Code (s.) supplied	Alphanumeric	1000	A006;P002;B006A
t.	ParameterSuiteCode	Where a routine set of parameters are regularly monitored, the Company may designate a Parameter Suite Code. The format for this code should be PSC001, PSC002, etc (see Field Example). The relationship between the Parameter Suite Code and the parameters contained within it should be submitted on an annual basis. Add codes separated by semicolons (;). See <b>Table C</b> below for specification.	Mandatory unless individual Parameters Monitored (r.) supplied	Alphanumeric	120	PSC001;PSC021;PSC321
u.	MonitoringRecords	[Description example – Free Text] If table is submitted in comma separated variable (.csv) format Insert in double quotation marks. This will ensure correct loading of fields in DWI’s database	Optional	Free Text	800	Operational monitoring programme

v.	OngoingValidationProcedures	[Description example – Free Text] If table is submitted in comma separated variable (.csv) format Insert in double quotation marks. This will ensure correct loading of fields in DWI's database	Optional	Free Text	800	Enhanced filter sampling and reporting programme
w.	Comments	Additional Information	Optional	Free Text	800	Risk is seasonal
x.	DWICategory	Select one category from controlled list (see <b>Table D</b> below)	Mandatory	Text	1	G
y.	AdditionalControlMeasureDetails	Detail any additional measures identified for future delivery	Optional	Free Text	800	Installation of UV planned for 2016
z.	LegalInstrumentReference	Reference allocated by DWI Improvement Programme database	Optional	Text	30	ANG1234;ANG5678;ANG9101
aa.	HazardID	Unique identifier for this hazard entry within this RAR template	Optional	Text	50	HID11111111

**Table A** – Details of Asset defined as a catchment. Filename must follow format XXX-Catchment-MM-YY.xls/csv where XXX is the three letter Company code, MM is the month number and YY is the year e.g. 01-15 for January 2015

Column	FIELD NAME	FIELD DESCRIPTION	STATUS (Mandatory/optional)	CONTENT	FIELD SIZE	FIELD EXAMPLE (for illustration only)
a.	Year	Year of return	Mandatory	Integer	4	2014
b.	AssetRef	Where Asset is defined as a catchment and prefixed with a 'C' (as in column c. of Risk Assessment Report specification)	Mandatory	Text	10	C123
c.	CatchmentName	Company name of Catchment	Mandatory	Free Text	80	Holby South Catchment Area
d.	CatchmentDescription	Description of Catchment area If table is submitted in comma separated variable (.csv) format Insert in double quotation marks. This will ensure correct loading of fields in DWI's database	Optional	Free Text	800	

**Table B** – Details of Asset and Supply System. Filename must follow format XXX-Asset-MM-YY.xls/csv where XXX is the three letter Company code, MM is the month number and YY is the year e.g. 01-15 for January 2015

Column	FIELD NAME	FIELD DESCRIPTION	STATUS (Mandatory/optional)	CONTENT	FIELD SIZE	FIELD EXAMPLE (for illustration only)
a.	Year	Year of Return	Mandatory	Integer	4	2014
b.	AssetRef	As in column c. of Risk Assessment Report specification	Mandatory	Text	10	Z013
c.	SupplySystemRef	As in column e. of Risk Assessment Report specification	Mandatory	Text	12	Y1234
d.	SupplySystemName	Company Name of supply system	Mandatory	Text	80	Holby South
e.	Comment	[Description example – Free Text] If table is submitted in comma separated variable (.csv) format Insert in double quotation marks. This will ensure correct loading of fields in DWI's database	Optional	Free Text	800	

**Table C** – Parameter Suite table

Filename must follow format XXX-PSC-MM-YY.xls/csv where XXX is the three letter Company code, MM is the month number and YY is the year e.g. 01-15 for January 2015

Column	FIELD NAME	FIELD DESCRIPTION	STATUS (Mandatory/optional)	CONTENT	FIELD SIZE	FIELD EXAMPLE (for illustration only)
a.	Date	Valid from date (DD-MMM-YYYY)	Mandatory	Date	11	31-JAN-2014
b.	ParameterSuiteCode	Parameter Suite Code as in column t. of Risk Assessment Report Specification	Mandatory	Alphanumeric	30	PSC1
c.	ParameterCode	Parameter code (IL 6/2003, Annex C) included in Parameter Suite in column b. above	Mandatory	Free Text	6	A006

**Table D** – DWI Categories and descriptions, select one category letter and place in column x.

Category	Description
<b>A</b>	Target risk mitigation <del>received</del> <b>achieved</b> , verified and maintained.
<b>B</b>	Additional control measures which will materially reduce risk are being validated
<b>C</b>	Additional control measures which will materially reduce risk are being delivered
<b>D</b>	Additional control measures are required to materially reduce risk
<b>E</b>	Mitigation under investigation
<b>F</b>	Partial mitigation
<b>G</b>	No mitigation in place : control point downstream
<b>H</b>	No mitigation in place and none required

**Table E** – specification for Catchment Supply table. Filename must follow format XXX-CatchSup-MM-YY.xls/csv where XXX is the three letter Company code, MM is the month number and YY is the year e.g. 01-15 for January 2015 Table should display a record for every Abstraction Point within a Catchment

Column	FIELD NAME	FIELD DESCRIPTION	STATUS (Mandatory/optional)	FIELD TYPE	FIELD SIZE	FIELD EXAMPLE (for illustration only)
a.	Year	Year of Return	Mandatory	Integer	4	2014
b.	AssetRef	Where Asset is defined as a catchment and prefixed with a C (as in column c. of Risk Assessment Report specification)	Mandatory	Text	10	C123
c.	AbstractionRef	Where Asset is defined as an abstraction point and prefixed with a A (as in column c. of Risk Assessment Report specification)	Mandatory	Text	10	A1234
d.	Comment	[Description example – Free Text] If table is submitted in comma separated variable (.csv) format Insert in double quotation marks. This will ensure correct loading of fields in DWI's database	Optional	Free Text	800	

## Annex B - Guidance on populating the Risk Assessment Template

Column	Instructions and examples
a	<b>Date</b>  (i) The date the risk assessment was completed or reviewed. This date should be relevant to the line of the spreadsheet it is entered against.
b	<b>Company</b>  (i) Current company (Ofwat) three letter codes.
c	<b>AssetRef</b>  (i) Only codes with the following prefixes C, A, T, S, R, Z  (ii) The asset reference used must match companies' annual 'Details' tables submission. See Table A for instructions on Catchment codes.

d	<p><b>AssetName</b></p> <p>(i) Include the names of catchments, raw water monitoring points, treatment works, supply points, service reservoirs, zones and bulk supplies.</p> <p>(ii) The names used for assets must be identical to those supplied in companies' annual 'Details' tables submission.</p> <p>(iii) A company in receipt of a bulk supply may provide an Excel file covering the supply (SiteRef from table 5 of Annex B to IL 09/2012) and an Excel file covering the downstream zone (using the zone reference) <u>or</u> a single spreadsheet covering the zone but utilising both the 'bulk supply' and 'distribution' stages accordingly.</p> <p>(iv) In table 5 of Annex B to IL 09/2012, the DonorDWIRef must be the donor company's nearest upstream asset. Annex B to IL 09/2012 will be updated to reflect this.</p> <p>(v) Optional to fill in : the column must still appear.</p>
e	<p><b>SupplySystemRef</b></p> <p>(i) Determined by the company but given a set prefix Y.</p> <p>(ii) Optional to fill in : the column must still appear.</p>
f	<p><b>SupplySystemName</b></p> <p>(i) Determined by the company.</p> <p>(ii) Optional to fill in : the column must still appear.</p>



g	<p><b>Stage</b></p> <ul style="list-style-type: none"> <li>(i) A stage must be selected from the list in the specification for each line of the spreadsheet.</li> <li>(ii) It is not a requirement to use all stages. For example, the stage 'distribution' might be used for all types of storage within distribution. In this case, the company would not use the stage 'storage'.</li> <li>(iii) It is expected that at a minimum; catchment, treatment, distribution and consumer will be used.</li> <li>(iv) The 'bulk supply' stage must be used for a bulk supply asset (SiteRef from table 5 of Annex B to IL 09/2012).</li> <li>(v) One Excel file can contain hazards for more than one type of 'stage'.</li> </ul>
h	<p><b>HazardRef</b></p> <ul style="list-style-type: none"> <li>(i) A list controlled by the Inspectorate - Annex C of IL 02/2014.</li> <li>(ii) Any item from this list can be used as a hazard.</li> <li>(iii) Only items from this list can be used within this cell.</li> <li>(iv) One hazard per line.</li> <li>(v) Additions to this list can be made using an application process administered by the Inspectorate. Any enquiries regarding current entries in this list, or requests for additional entries, should be sent to the Inspectorate's Data Unit 'Monthly Data' Mailbox <a href="mailto:dwimonthlydata@defra.gsi.gov.uk">dwimonthlydata@defra.gsi.gov.uk</a></li> </ul>

i	<p><b>HazardousEvent</b></p> <ul style="list-style-type: none"> <li>(i) This should be a description of the relevant hazardous event.</li> <li>(ii) A hazardous event is defined by WHO as “An event that introduces hazards to, or fails to remove them from, the water supply”.</li> <li>(iii) If the same hazard appears twice in a file, the hazardous events must be different</li> </ul>
j	<p><b>PreLikelihood</b></p> <ul style="list-style-type: none"> <li>(i) The likelihood from the previous stage before the impact of control measures within the current stage are taken into account.</li> <li>(ii) Entered if available.</li> </ul>
k	<p><b>PreConsequence</b></p> <ul style="list-style-type: none"> <li>(i) The consequence related to the hazard.</li> <li>(ii) Entered if available.</li> </ul>
l	<p><b>Risk</b></p> <ul style="list-style-type: none"> <li>(i) The risk before the impact of control measures within the current stage are taken into account.</li> <li>(ii) If this is not an integer, it should be converted to one. For example if using red, amber, green this could be 1,2,3 – explanation to be entered into the comments field or the company’s methodology.</li> </ul>

m	<p><b>ControlMeasureName</b></p> <ul style="list-style-type: none"> <li>(i) Mandatory if column <b>n</b> or <b>o</b> not populated.</li> <li>(ii) For simple, self-descriptive control measure names.</li> <li>(iii) Multiple names should be listed for a single instance of a hazard.</li> </ul>
n	<p><b>ControlMeasureDetails</b></p> <ul style="list-style-type: none"> <li>(i) Mandatory if column <b>m</b> or <b>o</b> not populated.</li> <li>(ii) For prose descriptions of control measures.</li> <li>(iii) For any other details relating to the control measures.</li> </ul>
o	<p><b>ControlMeasureGroup</b></p> <ul style="list-style-type: none"> <li>(i) Mandatory if column <b>m</b> or <b>n</b> not populated.</li> <li>(ii) For entering the name of a group of control measures.</li> </ul>
m n o	<p><b>Control</b></p> <ul style="list-style-type: none"> <li>(i) More than one column can be populated</li> <li>(ii) WHO Definition "Any action and activity that can be used to prevent or eliminate a water safety hazard or reduce it to an acceptable level"</li> </ul>
p	<p><b>PostLikelihood</b></p> <ul style="list-style-type: none"> <li>(i) The likelihood from the previous stage after the impact of control measures within the current stage are taken into account.</li> <li>(ii) Entered if available.</li> </ul>

q	<p><b>PostConsequence</b></p> <ul style="list-style-type: none"> <li>(i) The consequence related to the hazard.</li> <li>(ii) Entered if available.</li> <li>(iii) It would be unusual for this entry to be different to that of column <b>k</b>.</li> </ul>
r	<p><b>ResidualRisk</b></p> <ul style="list-style-type: none"> <li>(i) The subsequent risk after the impact of control measures within the current stage are taken into account.</li> <li>(ii) If this is not an integer, it should be converted to one. For example if using red, amber, green this could be 1,2,3 – explanation to be entered into the comments field or detailed in the methodology.</li> </ul>
s	<p><b>ParametersMonitored</b></p> <ul style="list-style-type: none"> <li>(i) For a list of single parameters.</li> <li>(ii) For instances when the parameter is not monitored at that asset point, add a comment in the comments field.</li> </ul>
t	<p><b>ParameterSuiteCode</b></p> <ul style="list-style-type: none"> <li>(i) A code which specifies a suite of parameters provided by the company in a separate table (see specification and associated table).</li> <li>(ii) There is a requirement to populate at least one of columns <b>s</b> or <b>t</b> describing the monitoring in place for the hazard. It is recognised, for some hazards, that the monitoring is something other than measurement of a parameter or suite of parameters (appended to IL 06/2003 and 09/2012) for example the hazard of ‘no supply’ may be monitored by contacts to the company. In such instances, a code <b>PSC000</b> has been created which should be entered in Column ‘t’ for hazards where there is no monitoring of any parameters or parameter suites at any of the upstream or downstream assets.</li> </ul>

s t	<p><b>Monitoring</b></p> <p>(i) Both columns can be used to describe a full set of parameters monitored (i.e. a parameter suite code can be used in conjunction with a list of individual parameters)</p>
u	<p><b>MonitoringRecords</b></p> <p>(i) A description of monitoring records kept.</p> <p>(ii) To include parameters and other monitoring if not detailed in columns <b>s</b> or <b>t</b>.</p>
v	<p><b>OngoingValidationProcedures</b></p> <p>(i) A description of how the control measure(s) are continuously validated.</p> <p>(ii) Processes by which the reliability and relevance of a control measure is continuously evaluated.</p> <p>(iii) Ongoing validation is different to commissioning.</p> <p>(iv) Reference to short term and long term programmes may be appropriate.</p> <p>(v) WHO definition "Obtaining evidence that the elements of the Water Safety Plan can effectively meet the water quality targets. Process by which the reliability and relevance of a particular approach, method, process, or assessment is established for a defined purpose. Testing of a system and its individual components to prove that it is capable of meeting the specified targets (i.e. microbial reduction targets). Should take place when a new system is developed or new processes are added".</p> <p><u>Examples</u></p> <p>Monitoring of maintenance schedules</p> <p>Assessment against performance measures</p>

w	<p><b>Comments</b></p> <p>(i) For any other commentary.</p>																		
x	<p><b>DWICategory</b></p> <p>(i) Appropriate letter to be selected by companies from a list defined by the Inspectorate (see below).</p> <table border="1" data-bbox="327 424 2016 930"> <thead> <tr> <th data-bbox="327 424 544 467">Category</th> <th data-bbox="544 424 2016 467">Description</th> </tr> </thead> <tbody> <tr> <td data-bbox="327 467 544 579">A</td> <td data-bbox="544 467 2016 579">Target risk mitigation achieved, verified and maintained If you are using this code, it must be possible to determine what the control measure is achieving the risk mitigation from the spreadsheet</td> </tr> <tr> <td data-bbox="327 579 544 619">B</td> <td data-bbox="544 579 2016 619">Additional control measures which will reduce risk are being validated</td> </tr> <tr> <td data-bbox="327 619 544 659">C</td> <td data-bbox="544 619 2016 659">Additional control measures which will reduce risk are being delivered</td> </tr> <tr> <td data-bbox="327 659 544 699">D</td> <td data-bbox="544 659 2016 699">Additional control measures are required to materially reduce risk</td> </tr> <tr> <td data-bbox="327 699 544 759">E</td> <td data-bbox="544 699 2016 759">Mitigation under investigation</td> </tr> <tr> <td data-bbox="327 759 544 815">F</td> <td data-bbox="544 759 2016 815">Partial mitigation</td> </tr> <tr> <td data-bbox="327 815 544 871">G</td> <td data-bbox="544 815 2016 871">No mitigation in place : control point downstream</td> </tr> <tr> <td data-bbox="327 871 544 930">H</td> <td data-bbox="544 871 2016 930">No mitigation in place and none required</td> </tr> </tbody> </table> <p>(ii) The category selected must be relevant to the stage selected (i.e. if there is a risk within the water treatment works stage which is not controlled until distribution, the category G should be selected).</p>	Category	Description	A	Target risk mitigation achieved, verified and maintained If you are using this code, it must be possible to determine what the control measure is achieving the risk mitigation from the spreadsheet	B	Additional control measures which will reduce risk are being validated	C	Additional control measures which will reduce risk are being delivered	D	Additional control measures are required to materially reduce risk	E	Mitigation under investigation	F	Partial mitigation	G	No mitigation in place : control point downstream	H	No mitigation in place and none required
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G	No mitigation in place : control point downstream																		
H	No mitigation in place and none required																		
y	<p><b>AdditionalControlMeasureDetails</b></p> <p>(i) Populated when the implementation of any additional control measure/s will change the risk score.</p> <p>(ii) Control measures refers to any type of measure (activity or process).</p> <p>(iii) Satisfies regulation 28(3)(b)(ii) and replaces 'actions plans' submitted previously.</p>																		

z	<b>LegalInstrumentReference</b>  (i) Mandatory where a DWI legal instruments exists for the hazard(s).
aa	<b>HazardID</b>  (i) This is a unique identifier for a hazard within the particular spreadsheet it sits. The hazard ID for iron at T123456 Waterworks1 would have a different hazard ID to iron at T654321 Waterworks2 in its corresponding spreadsheet.

## Annex C - General Requirements

1	Terminology	<ul style="list-style-type: none"> <li>i. The Inspectorate and all water suppliers will use definitions from the WHO lexicon <a href="http://apps.who.int/thelexicon/entry.php">http://apps.who.int/thelexicon/entry.php</a> for Water Safety Planning terms.</li> </ul>
2	Risk Assessment Report	<ul style="list-style-type: none"> <li>i. Submissions comprise one Excel file per asset reference.</li> <li>ii. There should be one Excel file for each bulk supply as defined in the Bulk Supply table within the annual 'Details' tables. Ensure bulk supply assets feature in Table B which defines the supply system.</li> <li>iii. Each Excel file should only contain one Spreadsheet</li> <li>iv. Each spreadsheet will have 27 columns – A to AA which meet the specification outlined above. The column headings must appear and exactly match the specification</li> <li>v. Where an asset features in more than one supply system, these can be listed in the optional columns <b>e</b> (SupplySystemRef) and column <b>f</b> (SupplySystemName) as described in Annex B, the specification.</li> <li>vi. As a minimum, hazards to be reported are those where a control or mitigation measure is required or in place plus all matters with the potential to compromise wholesomeness or a sufficient supply of drinking water. Companies may report all assessed hazards.</li> </ul>
3	Tables A B and E	<ul style="list-style-type: none"> <li>i. Table A must be populated by all companies with catchment risk assessments</li> <li>ii. Table B must be populated by all companies</li> <li>iii. Table E must be populated by all companies with abstraction point risk assessments</li> <li>iv. The 'return year' for submissions made during 2015 is <b>2015</b></li> <li>v. These tables will be incorporated into the annual 'Details' tables as appended to IL 06/2003 and 09/2012 to be submitted annually, once only on or before 28 February each year from 2016</li> </ul>
4	Table C	<ul style="list-style-type: none"> <li>i. This table should only be submitted if parameter suite codes other than PSC000 are used. PSC000 should</li> </ul>



		<p>not be included in this table</p> <p>ii. This table can be submitted at any time. Ensure the review date reflects the date from which the parameter suites code is valid from.</p>
5	Submission of RAR spreadsheets	<p>i. Initial submissions will take place between no later than 31 October 2015</p> <p>ii. A full consolidated submission will take place once a year from 2016 on 01 October accurate to the end of the previous July regardless of when the first submission was made</p>
6	General good practice	<p>i. Excel files should not contain 'blank lines' which increase the file size unnecessarily</p> <p>ii. Excel files should not contain hidden formulas or any other functions such as drop downs</p> <p>iii. Character limits should not be exceeded as the file will not be loaded</p> <p>iv. The maximum file size the DWI can accept via email is 15MB</p> <p>v. Do not leave a trailing semicolon in columns <b>s</b> or <b>t</b></p>
7	Monthly Submissions	<p>i. Updates must be provided when a residual risk score (column <b>r</b>) has increased or decreased alongside monthly compliance data returns following the same reporting rules. Only those lines where the result in column <b>r</b> has changed should be submitted. If the score in column <b>r</b> has changed, it is expected that the date in column <b>a</b> will also have changed.</p> <p>ii. Lines submitted that have the same <b>Date, AssetRef, Stage, HazardRef</b> and <b>HazardousEvent</b> entries as previously submitted lines will not be loaded</p> <p>iii. Monthly submissions should be made by the 21st of each month</p>
8	General Requirements	<p>i. Each company will continue to be required to submit any update to the risk assessment and management methodology adopted.</p> <p>ii. Each company will be required to submit a risk review procedure with the 21 March 2015 (01 October 2015</p>

		<p>where agreed) submission and when updated thereafter.</p> <p>iii. Board level Director sign off will remain a requirement. Each company must determine the appropriate stage for Director sign off for a supply system depending on their particular governance arrangements. The existing front sheet from IL 7/2008 will continue to be accepted by the DWI on paper with wet signatures or electronically (either scanned or with electronic signatures).</p>
9	Ongoing developments	<p>i. Where a regulatory monitoring waiver/reduction/increase for a parameter has been adopted/approved, the hazard must be included in the spreadsheet submission. Note: to be more clearly defined once Drinking Water Directive proposals become firm.</p> <p>ii. Each company will be required to submit a specific methodology for the risk assessment of hazards that result in a reduction/waiver/increase in compliance monitoring of a parameter. Note: to be more clearly defined once Drinking Water Directive proposals become clear.</p>

## Annex D Submission Process

1	The first submission will be as indicated by the company's Board; 21 March 2015 for risk assessments accurate to the end of December 2014 or no later than 01 October 2015 for risk assessments accurate to the end of July 2015. Submissions are to be made electronically to <a href="mailto:DWI_risk_assessments@defra.gsi.gov.uk">DWI_risk_assessments@defra.gsi.gov.uk</a> unless other arrangements have been agreed with the Inspectorate.
2	Risk Assessment Report plus tables A, B, C, E should be sent electronically in emails not exceeding 15MB to <a href="mailto:DWI_risk_assessments@defra.gsi.gov.uk">DWI_risk_assessments@defra.gsi.gov.uk</a> no later than 21 March or 01 October as agreed.
3	Submissions will be loaded into the DWI database
4	Errors in filenames will result in the file not being loaded. A record of this failure will be kept and will be included in an email summarising all loading failures once per day covering the loads for that day.
5	If the filename is correct, the load routine will continue to check the contents of the files. If there is an error in the header line, the file will not load. If the header line is correct, but there is an error in any of the subsequent lines, the file will not load. However, the load routine will continue to check each subsequent line, keeping a record of all errors. These errors again will be included in an email that will be sent to companies once per day, covering the loads for that day.
6	Risks are considered unique based on the combination of assessment date, hazard ref, site, stage and hazardous event. If more than one record is provided where these are all the same only the first will load and the remaining ones will be skipped as duplicates.
7	Upon receipt of an error email, the company should endeavour to rectify the errors and resubmit the file as soon as possible
8	Monthly submissions should follow the timing of compliance submissions, but should be made to <a href="mailto:DWI_risk_assessments@defra.gsi.gov.uk">DWI_risk_assessments@defra.gsi.gov.uk</a>

**Annex E Examples of Specification Compliant Excel Files**



TMS-Asset-11-15.csv



TMS-Catchment-01-15.csv



TMS-CatchSup-11-15.csv



TMS-PSC-11-15.csv



TMS-Risk-RR0024-02-15.csv



TMS-Risk-RR0024-02-15.xls