

## OUTSTANDING CATEGORY 1 NON-COMPLIANCES

Visit Reference	Category	Date and Working Days Outstanding	Non-compliance Description	Rectification Progress	Current Settlement Impact <sup>1</sup> and Outstanding Action	Trading Dispute	Half Hourly Data Collector (HHDC) Evidence
2016-1600	1.06	23/11/2016 809	<p>The Technical Assurance Agent (TAA) identified that the Meter fuses were removed.</p> <p>At the time of inspection, it was unclear who had removed the Meter fuses. The building was subject to flooding which may have been the reason for the removal.</p>	<p><b>Rectified Pending Confirmation</b></p> <p>Site had access issues associated with asbestos. Site originally scheduled for demolition in September 2019 however, demolition has not gone ahead.</p> <p>Meter Operating Agent (MOA) noted site was de-energised following initial non-compliance identification. However, ECOES notes site energised 01/10/2017.</p> <p>MOA and Licensed Distributor System Operator (LDSO) attended site on 21/11/2019 and replaced the Meter, but were unable to Commission as there is no load on the meter. This meter is for firefighter supply as advised by Site Manager.</p>	<p><b>Not currently affecting Settlement</b></p> <p>MOA to confirm rectification of non-compliance through Commissioning; or</p> <p>LDSO to disconnect the site.</p>	Investigating	Data requested 30/12/2019
2017-0158 2017-0159	1.02	12/01/2017 775	The Supply incorrectly registered as non-Complex when it should have been Complex.	<p><b>Rectified Pending Confirmation – Plan awaiting TAA confirmation</b></p> <p>Site characterised by access issues, which has made it difficult for the MOA to Commission in order to reconcile the Metered volumes and volumes taken by the customer.</p> <p>ELEXON confirmed that Trading Dispute process completed 30/08/2019. MOA noted that following</p>	<p><b>Low likelihood of currently affecting Settlement</b></p> <p>MOA to submit HH MTDs outlining whether Meters registered against MPAN.</p>	No materiality	Data requested 30/12/2019

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				<p>identification of the non – compliance, site has undergone engineering works and is now under minimal, or no load.</p> <p>TAA contact MOA 06/01/2019 requesting Half Hourly (HH) Meter Technical Details (MTDs) to confirm whether there are Meters registered against MPAN following engineering works.</p>	<p>If Meter registered against MPAN, Commissioning required.</p> <p>If no Meter registered against MPAN Commissioning required.</p>		
2017-1145	1.06	18/09/2017 542	Non-compliance raised due to elevated voltages recorded by the TAA during the Inspection Visit.	<p><b>Rectified Pending Confirmation</b></p> <p>Elevated voltages corrected 09/04/2018, unable to Commission to confirm rectification of non-compliance due to low load on site and Meter lacking communications makes it difficult to work out when there is load on site.</p> <p>MOA confirmed that its Commissioning had been completed 08/11/2019, yet awaiting LDSO Commissioning.</p> <p>LDSO commissioning completed but hasn't passed quality assurance checks, therefore it's been returned to the engineer.</p>	<p><b>Low likelihood of currently affecting Settlement</b></p> <p>LDSO Commissioning required.</p>	No materiality	HHDC collecting actual data until 23/12/2019 as on Hand Held Read (HHR).
2017-1561	1.02	18/12/2017 521	The Meter was found to be faulty with no display or communications.	<p><b>Rectified Pending Confirmation</b></p> <p>Initial scheduled inspections by the MOA fell through due to combination of poor customer engagement and engineer sickness on the day of inspection (15/04/2018 to 24/08/2018).</p>	<p><b>Low likelihood of currently affecting Settlement</b></p> <p>MOA and LDSO Commissioning required.</p>	Investigating	Data requested 30/12/2019

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				<p>MOA advised the site is under redevelopment 21/11/2018. MOA confirmed that the site has been de-energised and Meter has been disconnected, confirmed via site visit 06/02/2019</p> <p>Site is energised 16/11/2019 on ECOES.</p> <p>ELEXON held teleconference with Supplier to discuss progress 16/12/2019. Supplier noted that MOA had completed a Meter exchange, yet was unable to Commission due to insufficient load. Supplier noted continued monitoring on site.</p>			
2018-0886	1.02	24/05/2018 420	<p>The TAA identified a HV phase failure.</p> <p>The Supply is an SVA backup to a CVA Supply.</p>	<p><b>Non-Compliance Outstanding</b></p> <p>Meter for a back-up supply for a Hydroelectric Power Station, issues with the MOA, LDSO and customer agreeing on a date to complete engineering. MOA advised 12/06/2018 that works should be completed by end of September 2018.</p> <p>Repair work provisionally agreed by MOA and customer to take place 10/04/2019, a helicopter is required to carry out repair works.</p> <p>When installing the new VT 15/04/2019, a hairline crack was discovered on one of the insulators therefore unable to connect supply. Replacement has been ordered, work planned for 31/07/2019.</p> <p>Technical issues with the helicopter, new date arranged for 10/09/2019. Engineer confirmed VT has been replaced 10/09/2019. Change of MOA</p>	<p><b>Low likelihood of currently affecting Settlement</b></p> <p>MOA Commissioning required.</p>	Investigating	No HHDC data Dec 2019 – 0's estimates for settlement

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				<p>01/10/2019, new MOA to attend site to Commission site.</p> <p>New MOA has advised that site has been passed to a senior engineer to undertake a transfer of load to Commission the back-up supply.</p>			
2018-2093	1.04	15/11/2018 239	Measurement transformer ratios different from those set up in Meter	<p><b>Non-Compliance Outstanding</b></p> <p>Auditor noted that the Meter is rated at 50/5 however, rating plates suggest CTs are 100 or 200/5. Auditor was unable to test primaries. MPAN is for a water company site.</p> <p>MOA and LDSO arranged site visit for 24/01/2019. MOA advised 28/01/2019 that job had been cancelled, as LDSO could not provide access.</p> <p>ELEXON escalation to the LDSO 07/02/2019 with the result that the MOA and LDSO made contact. MOA advised 15/03/2019 that CT ratio has been confirmed, however currently awaiting Commissioning.</p> <p>Escalation to the Supplier 05/09/2019 and 16/10/2019 to arrange access, as customer has not engaged. TAA also working with the LDSO 05/11/2019 to resolve access issue.</p> <p>LDSO attended site 11/12/2019 and has provided photographs as evidence. TAA auditor as</p>	<p><b>Low likelihood of currently affecting Settlement</b></p> <p>MOA required to undertake Commissioning.</p>	£71,566.00	HHDC collecting actual data

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				<p>reviewed this evidence and has advised that full commissioning is achievable</p> <p>Trading Dispute progressed using rating plates in place of Commissioning records.</p>			
2019-0083	1.02	17/01/2019 250	Correct Energy Measurement Check (Primary/Secondary conductor prevailing load test) indicates an error in the metered volume	<p><b>Rectified Pending Confirmation</b></p> <p>Auditor observed that Meter was recording low volts on L1, yet Meter had not flagged a phase failure.</p> <p>TAA chased DNO and MOA with no success 15/04/2019 to 20/06/2019. Contact made 01/07/2019 with MOA and LDSO booked to undertake repair works.</p> <p>Contact from LDSO and MOA 09/09/2019 noting that VT is not working on HV side and that site is under redevelopment.</p> <p>LDSO repaired measurement transformers 24/10/2019, awaiting confirmation from MOA to attend and Commission.</p> <p>MOA could potentially change the meters, but after visiting site the MOA has been advised that what remains of the site is to be demolished.</p> <p>Site under re-development, insufficient load to Commission.</p>	<p><b>Low likelihood of currently affecting Settlement</b></p> <p>Full Commissioning required.</p>	Investigating	Data requested 31/12/2019

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2019-0410	1.02	24/04/2019 181	Metering Equipment not functioning correctly	<p><b>Non-Compliance Outstanding</b></p> <p>CT fault on L3, secondary output not reflective of primary, error outside Code of Practice limit.</p> <p>MOA advised that site is a pumping station 09/07/2019 and that the customer was not happy about the repair works however, booked repair works for a provisional date of 30/07/2019.</p> <p>TAA contacted LDSO and MOA chasing update 05/09/2019, no response. ELEXON contacted Supplier 16/10/2019 and 14/11/2019 requesting update.</p> <p>03/12/2019 email from Supplier advising MOA has booked a job at site 10/01/2020, this has been confirmed with customer.</p>	<p><b>Likely to be affecting Settlement</b></p> <p>Awaiting update from site visit booked 10/01/2020</p>	Investigating	HHDC collecting actual data
2019-0462	1.06	02/05/2019 175	Meter disconnected. New LV board made live. Unmetered supply connected to board.	<p><b>Rectified Pending Confirmation</b></p> <p>Unmetered supply from reinstated Customer LV board.</p> <p>MOA advised 15/05/2019 that Revenue Protection believe they have had the correct payments therefore, are not interested in pursuing further action.</p> <p>LDSO contacted 14/06/2019 noting that it was investigating the issue further and are attempting to arrange a visit with LDSO, MOA and property manager in attendance.</p>	<p><b>Likely to be affecting Settlement</b></p> <p>LDSO to assess site setup and complete required work.</p>	Investigating	No HHDC Dec 2019 – Estimated 0's for Settlement

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				<p>Supplier advised 05/09/2019 that the unmetered supply was re-energised legitimately by the DNO, revenue protection no longer required to attend the site.</p> <p>TAA chased with little action from concerned parties between 12/09/2019 and 12/11/2019. Supplier requested 14/11/2019 MOA to attend site on 26/11/2019, MOA rejected as more information required concerning site setup.</p> <p>There are no CT's or Meter panels fitted. LDSO 09/12/2019 are awaiting photographs from the customer to assess site setup and allocate to the correct department.</p>			
2019-0619	1.06	30/05/2019 154	Mismatch between main and check Meter.	<p><b>Rectified Pending Confirmation</b></p> <p>TAA auditor noted that main Meter CT is set at 250/5 whilst check Meter is at 200/5.</p> <p>Plan rejected by the TAA 16/07/2019 as Commissioning incomplete and connected CT ratio not confirmed. Plan rejected again 08/08/2019 as measurements on secondary does not prove connected CT ratio.</p> <p>MOA contacted 30/10/2019 advising that shutdown is scheduled for 27/12/2019 so that Commissioning can be undertaken. This is the only date that the customer can shut down. TAA chasing MOA 06/01/2019 to confirm whether Commissioning had been completed.</p>	<p><b>Likely to be affecting Settlement</b></p> <p>MOA and LDSO to attend site.</p>	Investigating	Data requested 31/12/2019

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2018-1128 (CVA)	1.02	13/05/2019 153	Metering Equipment not functioning correctly	<b>Rectified Pending Confirmation</b>  TAA noted 33kV circuit breaker exploded in the 33kV HV substation. Site is an offshore windfarm.  MOA noted VT replaced all equipment working. TAA require onsite Commissioning records to close non-compliance.	<b>Low likelihood of currently affecting Settlement</b>  Commissioning required.	No materiality	
2018-1131 (CVA)	1.02	13/05/2019 153	Metering Equipment not functioning correctly	<b>Rectified Pending Confirmation</b>  TAA noted 33kV circuit breaker exploded in the 33kV HV substation. Site is an offshore windfarm.  MOA noted VT replaced all equipment working. TAA require onsite Commissioning records to close non-compliance.	<b>Low likelihood of currently affecting Settlement</b>  Commissioning required.	No materiality	
2019-0880	1.04	10/07/2019 126	Measurement transformer ratios different from those set up in Meter (save for any difference being consistent with a measurement error compensation applied within the metering Equipment)	<b>Non-Compliance Outstanding</b>  Site is for a temporary building supply.  TAA Auditor advised that the CT ratio on the transformers is 1000/5 and is registered as 800/5 on the Meter.  LDSO advised 09/09/2019 that the supply is no longer in-situ. Supplier advised 12/09/2019 that customer has been billed 0 since December 2015.  LDSO noted 22/10/2019 that customer is not very cooperative, but supply is no longer in use and should be disconnected.  Supplier advised attempting to contact the customer, without success 14/11/2019.	<b>Low likelihood of currently affecting Settlement</b>  Disconnection required.	Investigating	Actual data collecting 0's



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				Email 12/12/2019 – Supplier is making regular contact with the customer who is still in discussions internally about the future of the Supply.			
2019-1098	1.04	31/07/2019 89	Measurement transformer ratios different from those set up in Meter (save for any difference being consistent with a measurement error compensation applied within the metering Equipment)	<b>Non-Compliance Outstanding</b> MOA contacted the TAA 09/09/2019 noting that a site visit is planned with the LDSO for 25/10/2019 MOA advised 25/10/2019 visit failed due to access issues. MOA added that contact details to arrange access held and another visit is booked, no date provided. TAA chased Supplier for progress update 12/11/2019.	<b>Likely to be affecting Settlement</b> Site access required for MOA.	Investigating	HHDC collecting actual data (reverse run flags – AE channels provided also)
2019-1121	1.02	15/08/2019 100	Metering Equipment not functioning correctly	<b>Non-Compliance Outstanding</b> TAA auditor noted that L2 is showing as a minus, whilst L1 and L3 are both pluses. TAA contacted the Supplier requesting an update to the rectification plan 06/09/2019. Supplier responded 09/09/2019 rectification plan submitted and site visit planned. Following TAA chase, MOA advised 17/10/2019 site visit completed, but awaiting engineer update on system. Further TAA chasing 12/11/2019 as no update on TAAMT.	<b>Likely to be affecting Settlement</b> Update required from MOA.	Investigating	Data requested 31/12/2019

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2019-1174	1.03	22/08/2019 95	Outstation clock outside of agreed tolerance	<b>Non-Compliance Outstanding</b>  TAA auditor noted Metering System clock adrift by 3600 seconds.  MOA advised 24/10/2019 site visit booked to rectify clock error. HHDC confirmed 12/11/2019 clock had been reset. TAA awaiting evidence from MOA.  Email from MOA advising 26/11/2019 inherited meter and do not hold 'high key' from installing who is unwilling to reset the display. Current MOA has requested via Supplier to exchange the Meter but with no response. TAA chased 05/12/2019 Supplier for an update.	<b>Low likelihood to be currently affecting Settlement</b>  Updated required from MOA.	Investigating	Data requested 31/12/2019
2019-1297	1.03	18/09/2019 77	Outstation clock outside of agreed tolerance	<b>Non-Compliance Outstanding</b>  HHDC advised 18/10/2019 error is with the external clock, which is incorrect and not affecting Settlement data.  TAA chased MOA for an update 12/11/2019.  Email 28/11/2019 – Meter exchange booked 20/12/2019	<b>Not affecting Settlement</b>  Update required from MOA regarding Meter exchange.	Investigating	Data requested 31/12/2019
2019-1441	1.02	06/11/2019 42	Metering Equipment not functioning correctly	<b>Non-Compliance Outstanding</b>  TAA auditor noted very low load at time of primary load test.	<b>Likely to be affecting Settlement</b>	Investigating	HHDC collecting actual data

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				<p>Email from MOA 18/11/2019 noting in process of raising a Commissioning visit to site. Engineer to liaise with site contact.</p> <p>Evidence received by TAA from MOA 09/12/2019. TAA auditor reviewed evidence confirming site is recording very little load which seems to be contributing to the issue. The Category 1 was raised as the auditor couldn't prove that the increment on the rising demand on the meter was the same as the zeros showing on the auditor's test equipment.</p> <p>The MOA expects to be able to complete Commissioning once the tunnel boring machine is active in March 2020. At this point there is insufficient load to complete Commissioning.</p>	MOA to complete Commissioning March 2020.		
2019-1446	1.02	07/11/2019 41	Correct Energy Measurement Check (Primary/Secondary conductor prevailing load test) indicates an error in the metered volume	<p><b>Rectified Pending Confirmation</b></p> <p>TAA auditor noted a difference in Metered and measured volumes during the Inspection Visit. Auditor added that there was very low load onsite during audit.</p> <p>MOA presented incomplete Commissioning 09/12/2019.</p> <p>Awaiting MOA commissioning to close Category 1</p> <p>Site is energised 22/12/2017.</p>	<p><b>Low likelihood of currently affecting Settlement</b></p> <p>MOA Commissioning required.</p>	Investigating	HHDC collecting actual data

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2019-1450	1.02	07/11/2019 41	Correct Energy Measurement Check (Primary/Secondary conductor prevailing load test) indicates an error in the metered volume	<b>Non-Compliance Outstanding</b> <p>TAA auditor noted a difference in Metered and measured volumes during the Inspection Visit. Auditor added that there was very low load onsite during audit.</p> <p>15/11/2019 TAA chased all parties for an update.</p> <p>09/12/2019 MOA in the process of making contact with customer for MOA Commissioning.</p> <p>Site is energised 01/10/2016.</p>	<b>Likely to be affecting Settlement</b>	Investigating	HHDC collecting actual data until 11/12/2019 – HHDC is currently submitting estimated data as it is unable to collect. HHDC suggests this may be because of a Meter exchange.
2019-1503	1.02	25/11/2019 27	Correct Energy Measurement Check (Primary/Secondary conductor prevailing load test) indicates an error in the metered volume	<b>Non-Compliance Outstanding</b> <p>TAA auditor noted a difference in Metered and measured volumes during the Inspection Visit. Auditor added that there was very low load onsite during audit.</p> <p>Supplier chased the MOA to investigate Category 1.</p>	<b>Likely to be affecting Settlement</b>	Investigating	HHDC collecting actual data
2019-1503	1.01	25/11/2019 27	Meter Id (serial number) - Main Meter	<b>Non-Compliance Outstanding</b> <p>The TAA auditor noted a discrepancy between the serial number in the MTDs and the serial number on the physical Meter.</p> <p>Supplier chased the MOA to investigate Category 1</p>	<b>Likely to be affecting Settlement</b>	Investigating	Data requested 31/12/2019

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2019-1504	1.01	25/11/2019 27	Complex Site Supplementary Information Form (SVA only)	<b>Non-Compliance Outstanding</b>  The TAA auditor was aware that the site was complex from previous experience, yet no Complex Site Supplementary form was provided.  Site is energised 15/03/2019.	<b>Likely to be affecting Settlement</b>  Complex Site Supplementary form required.	Investigating	HHDC collecting actual for settlements.
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### **Current Settlement Impact<sup>1</sup>**

Not currently affecting Settlement – evidence demonstrating non-compliance not affecting Settlement;

Low likelihood of affecting Settlement – awaiting Commissioning to confirm rectification;

Likely to be affecting Settlement – no, or minimal progress on rectification following identification; and

Affecting Settlement – evidence demonstrating non-compliance affecting Settlement.