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Appendix A
Operational Summary

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References

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1 Operational Summary

1.1 Forecast vs Actual Audits Completed

The table below provides a comparison of the number of Inspection Visits and Desktop Audits as agreed by PAB on 30 January 2020 against the number of actual inspections completed during the operational year.

As a result of the COVID-19 pandemic and the ensuing social landscape, the actual Inspection Visits carried out and their breakdown was fundamentally different to what was forecasted. This highlights the extenuating circumstances we as an industry faced.

Visit Type	Forecast by PAB January 2020	Actual Completed March 2021
Onsite Inspection	1551	33
Desktop Audit	350	1592
Total	**1901**	**1625**

Whilst the pandemic introduced significant obstacles, the TAA was able to react flexibly and undertake a significant number of Desktops Audits. Desktop Audits became the primary method in which to provide assurance to the industry and the health of the SVA and CVA Metering market.

The TAA would like to thank all Parties that have worked with the TAA to ensure continuity as far as possible allowing optional Desktop Audits to be performed, particularly the MOAs, DCs, LDSOs and a small number of IDNOs. Whilst our thanks also go to those Suppliers who opted in, it is worth noting that several large Suppliers advised that they were unable to participate.

The TAA auditors have also provided positive feedback in Party interaction and communications in resolving outstanding issues, during extremely challenging times. In particular, LDSO engagement has significantly improved over the past year and a half. The auditors feel this closer collaboration has resulted in quicker resolution of outstanding issues and also appreciation of challenges LDSOs have faced.

1.2 Optional Audits

Following the suspension of TAM activities on 26 March 2020, the PAB approved recommendations at its 25 June 2020 meeting for the launch of optional Desktop Audits. TAA audits were to remain optional to ensure continuity of business critical activities, such as rectification of outstanding faults.

Furthermore, the PAB approved recommendations for optional CVA Inspection Visits to commence as of 30 July 2020.

A full listing of all Parties that opted in can be found in section 1.2.2.

Optional Desktop Audits

The optional Desktop Audits started with the Measurement Class E Specific Sample on 9 July 2020. This was followed by the Measurement Class C Sample, which commenced on 1 February 2021.

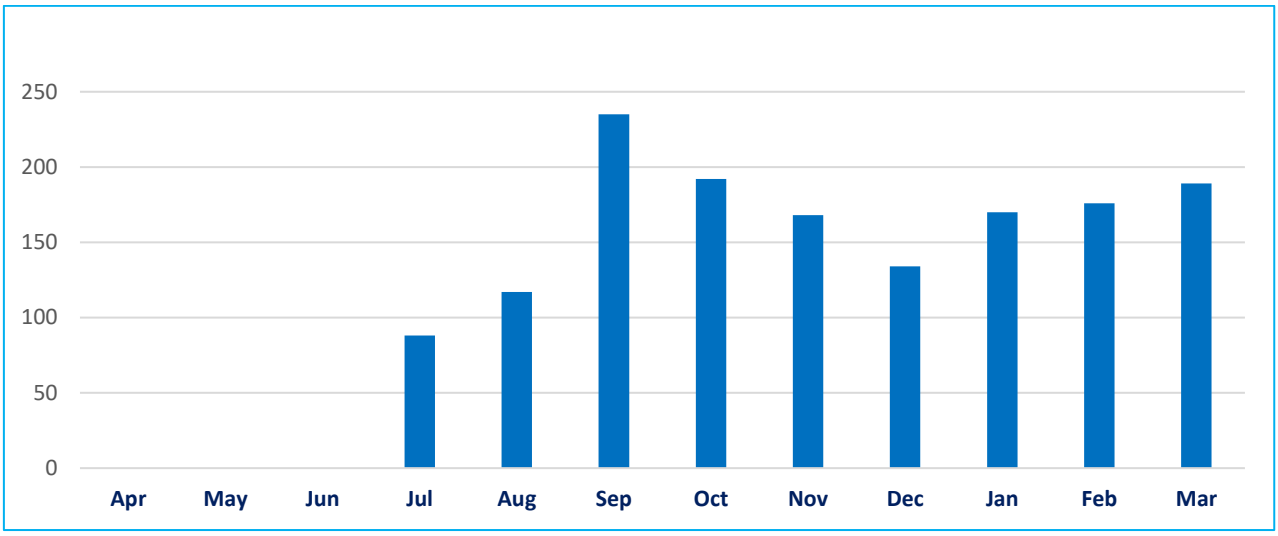

Figure 1 Desktop Audits completed per month

Optional CVA Inspection Visits

At its 30 July 2020 meeting, the PAB approved recommendations for the TAA to commence optional CVA Inspection Visits. Elexon's Operational Support Managers (OSMs) took on the responsibility for gathering the appropriate contacts for CVA participants. The TAA received responses from a number of Parties which allowed us to complete 33 of the 53 CVA onsite Inspection Visits during the operational year.

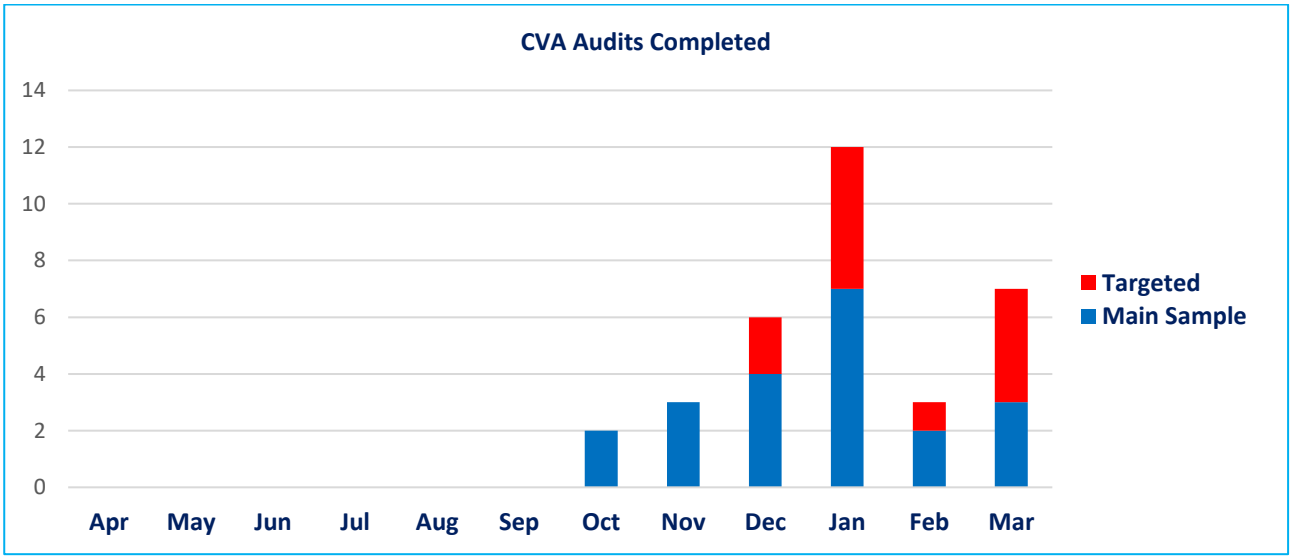

Figure 2 CVA Audits completed per month

1.2.1 Further refinement of the Desktop Audit process

The Desktop Audit process was introduced in the 2020/21 operational year, as such it was anticipated that the process would require refinement.

Elexon and the TAA, with assistance from the Technical Assurance of Metering Expert Group (TAMEG), identified the following improvements that were implemented on 4 January 2021:

- Obligation to provide the Single Line Diagram (SLD) moved from the Supplier to the LDSO; and
- Add an additional Non-compliance (B.18R) to report missing/incorrect data items in the D0215.

Implementation of these changes allowed for the scope to be widened to include Measurement Class C Desktop Audit Sample, which commenced on 1 February 2021.

Further Desktop Audit improvements will be added into the new Technical Assurance Agent Management Tool (TAAMT), due to be implemented summer 2021.

The new TAAMT application is a 'like for like' replacement of the existing TAAMT, maintaining current functionality. However, it will be underpinned by the very latest in technology and will come with a modern look and feel in line with other Elexon portals.

1.2.2 Parties that opted in during the course of the year

The TAA would like to thank the following Parties that opted in to participating during the course of the operational year;

Supplier

- EDF Energy Customers Limited
- ENGIE Power Limited
- Gazprom Marketing and Trading Retail Limited
- Good Energy Limited
- Haven Power Limited
- Npower Limited
- Opus Energy (Corporate) Limited
- Opus Energy Limited
- Opus Energy Renewables Limited
- OVO Electricity Limited
- Scottish Power Energy Retail Limited
- Shell Energy UK Limited
- Smartest Energy Limited
- SSE Energy Supply Limited
- The Renewable Energy Company Limited

SVA Meter Operator

- E.ON UK Energy Services Limited
- EDF Energy Customers Limited
- Energy Assets Group Limited
- IMServ Europe Limited
- Npower Limited
- OVO (S) Metering Limited

- Siemens Managed Applications and Services
- SMS Energy Services Limited
- SP Dataserve Limited
- Western Power Smart Metering Limited

Data Collector

- E.On Energy Solutions Limited
- IMServ Europe Limited
- Npower Limited
- SMS Energy Services Limited
- SP Dataserve Limited
- Stark Software International Limited
- TESGL Limited
- TMA Data Management Limited

LDSO

- BUUK
- Electricity North West
- Energetics
- ESP Electricity
- Harlaxton Energy Networks
- Northern Powergrid
- Scottish & Southern Energy Networks
- UK Power Networks
- Western Power Distribution

CVA Meter Operator

- EDF Energy Customers Limited
- Siemens Managed Applications and Services
- SMS Energy Services Limited

1.3 Supplier Commitment

The Desktop Audit process requires the Supplier to complete a series of pre-audit questions, in order for the Desktop Audit to progress. If the Supplier does not complete the pre-audit questions within the Service Level Agreement, the Desktop Audit fails and the Supplier receives a non-compliance.

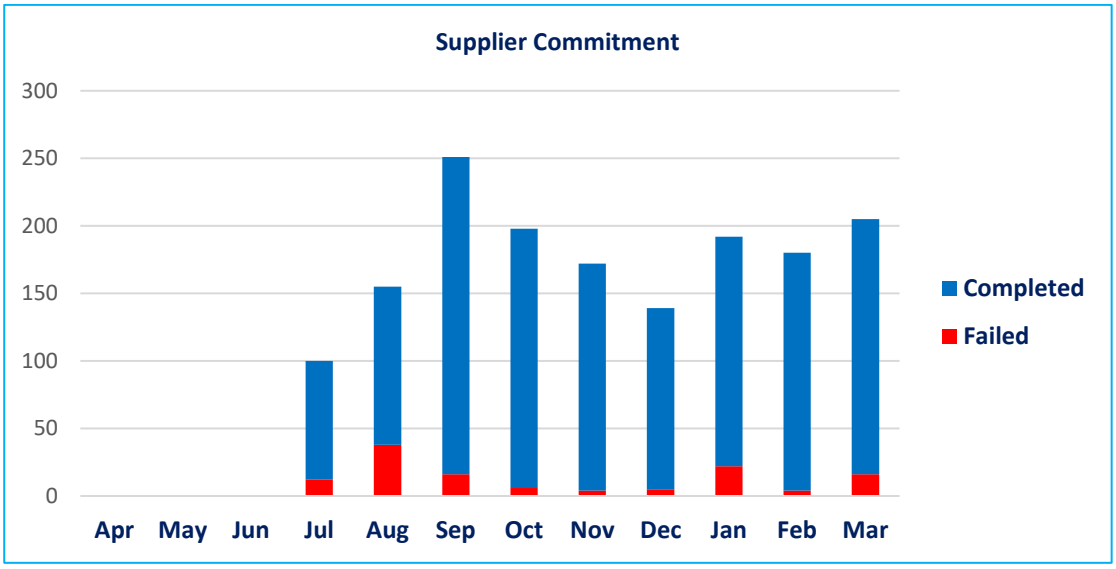

Figure 3 Count of Desktop Audits per month where the supplier failed to complete within the required timeframe

Given that the Desktop Process was introduced this year, it is very pleasing to report the level of Supplier compliance to providing information on time. 92% of requests were responded within the Service Level.

The TAA believes that the spike in failed audits in August 2020 was due to unfamiliarity with the new process and January 2021 may have been attributable to low staff availability during the COVID-19 pandemic and most recent period of national lockdown.

The TAA can confirm that the increase in March 2021 was due to one particular Supplier. Following identification, we engaged with the Supplier to provide support, which resulted in a satisfactory outcome.

Improved efficiency

One of the envisaged benefits of the Desktop Audit process was to reduce the impact of failed audits through 'No Access'.

Figure 4 demonstrates that the rate of failed audits has significantly reduced, when comparing Desktop Audits to Inspection Visits. The TAA expect the Desktop Audit failure rate to continue to fall, particularly when TAM activities become mandatory again.

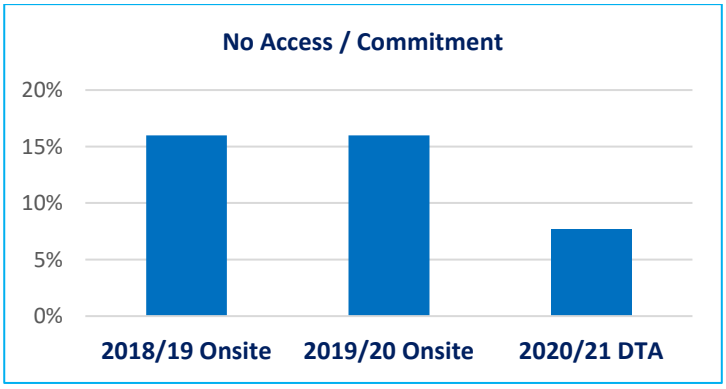

Figure 4 Comparison of the percentage audits that have not taken place due to No Access in the previous two years and no Supplier Commitment recorded this year

1.3.1 Conclusion

The TAA would like to note the positive engagement from Suppliers who opted into the Desktop Audits, which is reflected in the Desktop Audit 'completed' stats.

Suppliers who are new to the process had a higher likelihood of failing the pre-audit questions. However, in most observed instances performance notably improved.

The TAA recommends that engagement with Suppliers prior to their first Desktop Audit would reduce the initial spike in failed audits. This will be particularly important ahead of audits becoming mandatory.

As more Suppliers participate in the process in the forthcoming year, the TAA will continue to monitor all Suppliers' performance closely and offer guidance where required.