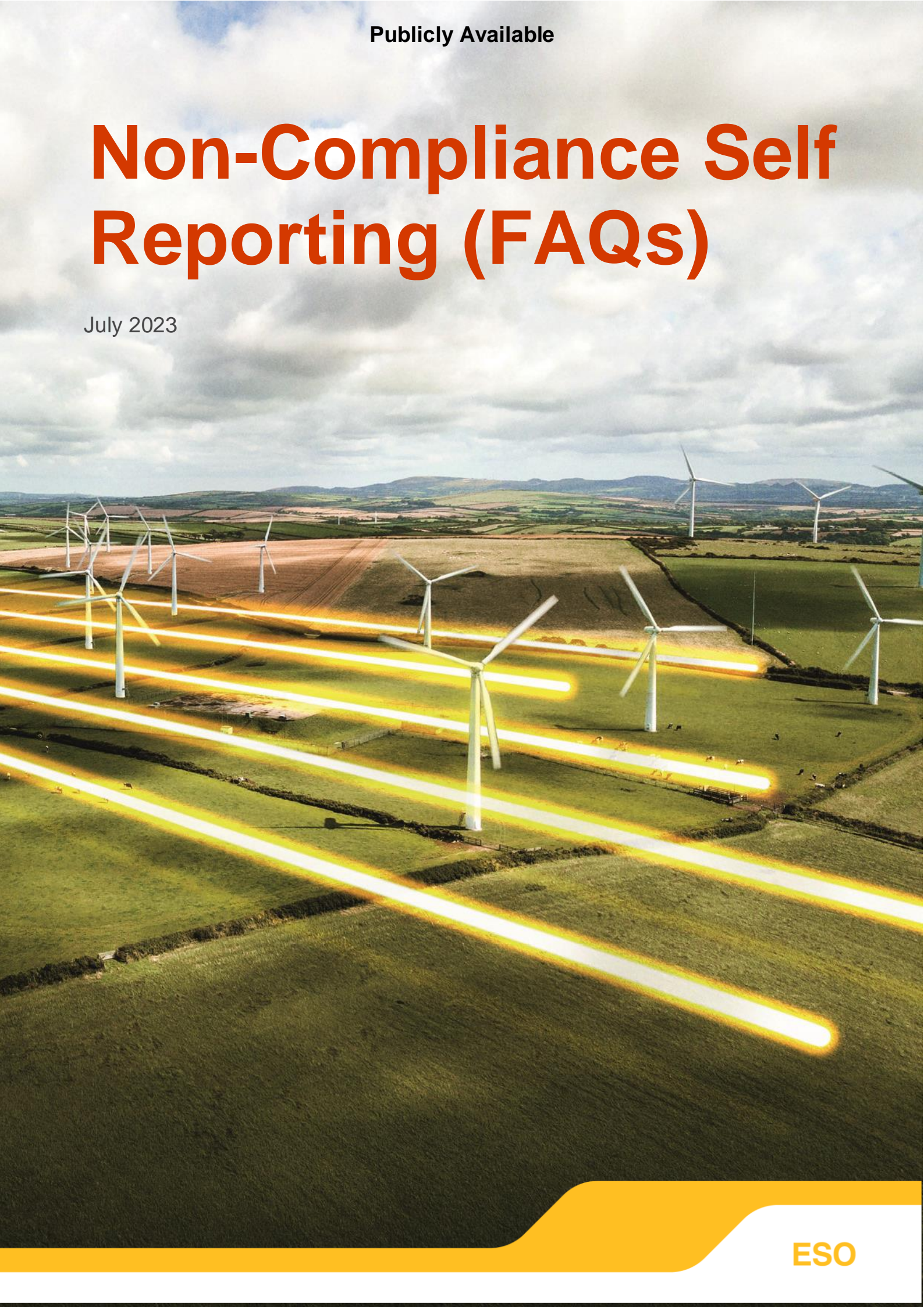


Publicly Available

# Non-Compliance Self Reporting (FAQs)

July 2023



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## FAQ

### General

#### 1. What is a Non-Compliance and what should I be reporting?

A non-compliance occurs when a Customer, TO, DNO suspects or identifies a breach to the requirements set out in the Grid Code for a generation or demand customer. Such non-compliance can be reported using the NCSR form and uploading supporting documentation explaining the non-compliance.

#### 2. Can I complete the NCSR form if my connection project is not in receipt of an Operational Notification?

No, connection projects who are not in receipt of an Operational Notification will be undergoing compliance with their respective Connections Compliance Manager and can discuss any issues during compliance meetings. This includes projects who are in receipt of an Energisation Operational Notification (EON), Interim Operational Notification (ION), Interim Section K Notification (ISKN), and Limited Operational Notification (LON).

The NCSR form is for projects who have completed the compliance process and are in receipt of a Final Operational Notification (FON) or Final Section K Notification (FSKN).

#### 3. Can I complete this process if I am a Transmission Owner (TO) / Distribution Network Operators (DNO)?

Yes, TOs and DNOs can report any non-compliance of connecting generators. The Non-Compliance Self Reporting form allows non-compliance reports to be made by either TOs or DNOs on behalf of connection projects.

#### 4. Does the Non-Compliance Self Reporting (NCSR) process replace the existing LON process?

No, the NCSR form does not replace the existing LON process. The NCSR form provides the User with a route to fulfil their obligations under Grid Code ECP.9.2 by immediately notifying The Company in writing of non-compliance. Following submission of the NCSR form the Electricity Connections Compliance Team will work with the User to identify next steps. This could include a Rectification Plan (see FAQ 6) or issue of a Limited Operational Notification. You can read more about the LON process in Grid Code ECP.9.

#### 5. Do I need to notify any third parties?

No, however when a suspected non-compliance has immediate operational or safety impact, we recommend contacting the relevant Control Rooms. As part of the NCSR process, once we are notified of the non-compliance, the Electricity Connections Compliance team will notify the relevant third parties.

#### 6. What is the rectification plan following a reported non-compliance?

Following a non-compliance or a suspected non-compliance, generators must determine how they intend to remedy the non-compliance by proposing a Rectification Plan to ESO. Once a non-compliance has been reported using the NCSR form, a member of the Electricity Connections Compliance team will review and investigate this submission against the connection project and will establish contact with a representative of the connection project.

#### 7. Do Users still have to complete NCSR form when the non-compliance is identified by ESO Control Room?

No, in this scenario the Control Room will inform the Electricity Connections Compliance team. However, if you have evidence or information you would like to share, you can do that via the NCSR form.

