Section	Section Name	Subsection	Subsection Name	Clause
	Audit and Survey			
23	**Audit & Survey**			
23		**23.1**	**Audit**	
23		23.1		23.1.1
23		23.1		23.1.2
23		23.1		23.1.3
23		23.1		23.1.4
23		23.1		23.1.4a
23		23.1		23.1.4b
23		23.1		23.1.4c
23		23.1		23.1.4d
23		23.1		23.1.4e
23		23.1		23.1.4f
23		23.1		23.1.5
23		23.1		23.1.6
23		23.1		23.1.7

23		23.1		23.1.8
23		**23.2**	**Supplier Smart Meter Installat**	
23		23.2		23.2.1
23		23.2		23.2.2
23		23.2		23.2.3
23		23.2		23.2.4
23		23.2		23.2.4a
23		23.2		23.2.4b
23		23.2		23.2.4c
23		23.2		23.2.5
23		23.2		23.2.6
23		23.2		23.2.7
23		**23.3**	**Supplier Smart Meter Installat**	
23		23.3		23.3.1
23		23.3		23.3.2
23		23.3		23.3.2a
23		23.3		23.3.2b
23		23.3		23.3.2c
23		**23.4**	**Supplier Smart Meter Installat**	
23		23.4		23.4.1

23		23.4		23.4.2
23		23.4		23.4.3
23		23.4		23.4.4
23		23.4		23.4.5
23		23.4		23.4.6
23		23.4		23.4.7
23		23.4		23.4.7a
23		23.4		23.4.7b
23		23.4		23.4.7c
23		23.4		23.4.8
23		23.4		23.4.9
23		23.4		23.4.10
23		23.4		23.4.11
23		23.4		23.4.11a
23		23.4		23.4.11b
23		23.4		23.4.11c
23		23.4		23.4.11d
23		23.4		23.4.11e
23		**23.5**	**Supplier Smart Meter Installat**	
23		23.5		23.5.1
23		23.5		23.5.2
23		23.5		23.5.3
23		23.5		23.5.3a
23		23.5		23.5.3b
23		23.5		23.5.3c

23		23.5		23.5.3d
23		23.5		23.5.4
23		23.5		23.5.5
23		23.5		23.5.6
23		**23.6**	**Consumer Feedback**	
23		23.6		23.6.1
23		23.6		23.6.2
23		**23.7**	**Supplier Smart Meter Installat**	
23		23.7		23.7.1
23		23.7		23.7.2
23		23.7		23.7.3
23		23.7		23.7.4
23		23.7		23.7.4a
23		23.7		23.7.4b
23		23.7		23.7.4c
23		23.7		23.7.5
23		23.7		23.7.6
23		23.7		23.7.7
23		23.7		23.7.8
23		23.7		23.7.8a
23		23.7		23.7.8b
23		23.7		23.7.8c

23		23.7		23.7.8d
23		23.7		23.7.8e
23		**23.8**	**Supplier Smart Meter Installat**	
23		23.8		23.8.1
23		23.8		23.8.2
23		23.8		23.8.3
23		23.8		23.8.4
23		23.8		23.8.5
23		23.8		23.8.6
23		23.8		23.8.7
23		23.8		23.8.8
23		23.8		23.8.9
23		23.8		23.8.9a
23		23.8		23.8.9ai
23		23.8		23.8.9aii
23		23.8		23.8.9aiii
23		23.8		23.8.9b
23		23.8		23.8.9bi
23		23.8		23.8.9bii
23		23.8		23.8.9c
23		23.8		23.8.9ci
23		23.8		23.8.9cii
23		23.8		23.8.9ciii

23		23.8		23.8.9civ
23		23.8		23.8.10
23		**23.9**	**Supplier Smart Meter Installat**	
23		23.9		23.9.1
23		23.9		23.9.2
23		23.9		23.9.3
23		23.9		23.9.4
23		23.9		23.9.5
23		23.9		23.9.6
23		23.9		23.9.7
23		23.9		23.9.7a
23		23.9		23.9.7b
23		23.9		23.9.7c
23		23.9		23.9.7d
23		23.9		23.9.7d note
23		23.9		23.9.8
23		23.9		23.9.8 note
23		23.9		23.9.9

Clause Text
23.1.1 Having gained approval, relevant Party's quality of work and adherence to this CoMCoP will be monitored through routine surveillance audits and reassessment in accordance with the Metering Accreditation Schedule of the REC. Relevant Parties shall permit and co-operate with audits and respond to any requests for information which the Metering Scheme Auditor makes for the purpose of carrying out such audit.
23.1.2 Relevant Parties shall regularly undertake audits of all their activities covered by the scope of this CoMCoP. These include activities performed directly by relevant Parties and those which have been delegated to others.
23.1.3 Relevant Parties shall have a documented audit procedure and a rationale regarding the levels of audit for particular work activities.
23.1.4 The Party's audit procedure shall:
(a) check that the Metering Equipment is constructed in compliance with the appropriate industry standards;
(b) check that the works are conducted in compliance with the appropriate industry standards
(c) ensure that audits are periodically carried out by a technically competent person;
(d) plan audits to ensure, as far as is reasonably possible, that over a documented period the full range of activities performed by each operative (direct labour and sub-contract labour) are audited;
(e) ensure that identified deficiencies are closed-out within reasonable time periods; and,
(f) record and retain audit reports detailing findings and any corrective actions.
23.1.5 Reports of internal technical audits shall be made available on request to the Metering Scheme Auditor and/or RECCo.
23.1.6 Relevant Parties shall maintain an internal safety audits procedure to ensure compliance with their obligations prescribed within this CoMCoP. The results of the internal safety audits will be made available upon request to the Code Manager.
23.1.7 Unless previously subject to an audit of compliance under this CoMCoP, each Energy Supplier with over 10,000 electricity and/or gas Consumers who are either Domestic Consumers or Micro-Business Consumers shall undergo a compliance audit, to provide assurance that processes are in place to enable compliance with all relevant aspects of this CoMCoP.

23.1.8 RECCo shall contract with one or more service providers for provision of the independent audit of compliance. RECCo shall ensure that such contract is consistent with the description set out in the Smart Meter Installation Auditor definition. Where necessary, RECCo shall exercise its rights under the service provider contract to ensure that the contract remains consistent with the requirements of this CoMCoP.

ion Audit Initiation

23.2.1 Energy Suppliers shall use reasonable endeavours to send a notification to the Code Manager up to six months in advance of when it expects to be ready to be audited.

23.2.2 Energy Suppliers shall notify the Code Manager when it is ready to be audited and shall take all reasonable steps to ensure that its audit is completed within six months of installing 1,500 Smart Metering Systems. After 1,500 installs, the Smart Meter Installation audit becomes annual.

23.2.3 Within 5 Working Days of the notice described in section 23.2.2, the Code Manager shall issue the Smart Meter Installation Auditor with an application for audit, containing the Energy Supplier's contact details, and a date by which the audit is to be carried out. The Code Manager shall also confirm, to the respective Energy Supplier, the receipt of the notification and that the application has been forwarded to the Smart Meter Installation Auditor, who shall subsequently contact the Energy Supplier.

23.2.4 Within 10 Working Days of receipt of an application described in section 23.2.3, the Smart Meter Installation Auditor shall:

(a) acknowledge receipt of the application to the Code Manager;

(b) agree the audit dates with the Energy Supplier, including when the initial findings report will be provided; and

(c) confirm an estimate of the applicable charges.

23.2.5 The audit activities shall commence within 60 Working Days of receipt of the application, unless otherwise agreed with the Code Manager.

23.2.6 The audit activities shall not commence within 20 Working Days of initial contact from the Smart Meter Installation Auditor, unless otherwise agreed with the Energy Supplier.

23.2.7 Where an Energy Supplier fails to confirm the audit dates with the Smart Meter Installation Auditor, within 20 Working Days of initial contact by the Smart Meter Installation Auditor, the Smart Meter Installation Auditor will advise the Code Manager. The Code Manager will advise the REC Performance Assurance Board of this failure at the next convened meeting.

ion Audit Completion

23.3.1 In respect of the audit, the Energy Supplier shall ensure appropriate staff are available and be ready to provide demonstrable evidence of compliance with this CoMCoP.

23.3.2 Following completion of an audit, the Smart Meter Installation Auditor will bilaterally meet with the Energy Supplier to share initial findings. This will include:

(a) setting out how they have assessed evidence of compliance against each relevant section of this CoMCoP;

(b) discussing with the Energy Supplier where non-compliances have been identified; and

(c) discussing with the Energy Supplier where observations have been identified.

ion Audit Reporting

23.4.1 An initial findings report will be issued to the Energy Supplier by the Smart Meter Installation Auditor within 10 Working Days of the initial findings being shared with the Energy Supplier, as defined in section 23.3.2. This report will detail whether the Energy Supplier is compliant with each relevant requirement and if not, its rationale for stating that the Energy Supplier is not compliant.

23.4.2 The Energy Supplier shall have no more than 20 Working Days from receipt of the initial findings report to provide any response to the Smart Meter Installation Auditor.
23.4.3 Where non-compliances have been identified, the Energy Supplier's response should detail whether it agrees that it is not compliant (and if not, provide further evidence / rationale to support its view).
23.4.4 Where the Energy Supplier agrees that it is non-compliant, it shall resolve the non-compliance or provide a rectification plan setting out how the non-compliance will be resolved.
23.4.5 The Energy Supplier's comments and proposed rectification plans should be provided within this 20 Working Day period as there will be no further opportunities to provide comments to the Smart Meter Installation Auditor.
23.4.6 Within 5 Working Days from the end of the Energy Supplier's initial findings response period, detailed within section 23.4.2, or receipt of a response from the Energy Supplier, the Smart Meter Installation Auditor shall produce a final audit report.
23.4.7 For each relevant requirement in this CoMCoP, the final audit report shall state:
(a) whether the Energy Supplier was compliant;
(b) if the Energy Supplier was compliant, whether any observations were identified in order for the Energy Supplier to improve its processes; and
(c) if the Energy Supplier was not compliant, the Energy Supplier's response to the initial findings report, whether the non-compliance has been rectified or whether a suitable rectification plan has been provided
23.4.8 The final audit report shall be issued to the respective Energy Supplier and the Code Manager.
23.4.9 The Code Manager shall send a copy of each final audit report to the REC Performance Assurance Board within 5 Working Days of receipt and at the same time to the Authority
23.4.10 The Smart Meter Installation Auditor shall also provide the Code Manager with monthly reports, detailing the activity and status of the audit process. The Code Manager shall provide these reports to the REC Performance Assurance Board for review at its next scheduled meeting.
23.4.11 The information contained within the report to the REC Performance Assurance Board will include:
(a) number of completed audits during the reporting period;
(b) percentage of compliant and non-compliant audit outcomes during the reporting period;
(c) number of audits currently ongoing or scheduled;
(d) number of outstanding non-compliances; and
(e) for non-compliant audits the report will summarise actions taken and progress towards rectification.

ion Audit Corrective Actions

23.5.1 Each Energy Supplier is responsible for implementing any corrective actions agreed as part of the audit process and arranging for the Smart Meter Installation Auditor to carry out an assessment on these corrective actions.
23.5.2 Upon receipt of the notification of an Energy Supplier's corrective actions, the Smart Meter Installation Auditor shall agree with the Energy Supplier the extent of further assessment and determine whether an additional site visit is necessary.
23.5.3 The Smart Meter Installation Auditor shall agree with the Energy Supplier
(a) the length and scope of corrective action assessment;
(b) key dates;
(c) terms and contract; and

(d) estimate of additional charges.
23.5.4 On agreement, a corrective action assessment schedule will be developed by the Smart Meter Installation Auditor and provided to the Energy Supplier and the Code Manager.
23.5.5 The Smart Meter Installation Auditor will carry out an assessment against non-compliances identified within the final audit report.
23.5.6 On completion of the corrective action assessment, the process defined in sections 23.4.1 to 23.4.9 will be followed for the areas of non-compliance.
23.6.1 Each Energy Supplier shall ensure that the Consumer has the means available for providing feedback on their experience of the Installation Visit (for example, in the form of an addressed and franked feedback card, via a website, or verbally to a representative of the Energy Supplier).
23.6.2 Each Energy Supplier shall ensure that this information is taken into account for future Installation Visits and, where appropriate, adjustments are made to Energy Supplier policies and processes.

ion Survey

23.7.1 Subject to the minimum sample thresholds set out in Appendix 20. Consumers shall be surveyed by a suitably qualified independent Smart Meter Installation Survey Organisation to monitor individual Energy Supplier's compliance against this CoMCoP.
23.7.2 Each Energy Supplier shall procure its own Smart Meter Installation Survey Organisation and provide Consumer data for all completed initial installations (except for those installations which include the provision, by the Energy Supplier to the Consumer, of an Alternative Display) to the independent Smart Meter Installation Survey Organisation.
23.7.3 The independent Smart Meter Installation Survey Organisation shall sample the data and survey the Consumers using the Smart Meter Installation Consumer Survey Specification (see Appendix 20).
23.7.4 Each Energy Supplier shall ensure that its survey results are made available to:
(a) the Code Manager;
(b) the Energy Supplier's internal resources to facilitate issue resolution; and
(c) the Authority and the Smart Metering Implementation Programme (until such time as either or both of them confirm in writing that they do not require copies of the results).
23.7.5 The Code Manager shall provide the results of the Consumer surveys to the REC Performance Assurance Board on an aggregated, anonymised basis. On request by the REC Performance Assurance Board, the Code Manager shall provide unanonymised survey results to the REC Performance Assurance Board.
23.7.6 The Code Manager shall publish on the REC Portal the results of the Domestic Consumer Survey Report, within 3 months of the end of the calendar quarter to which it relates.
23.7.7 Each Domestic Consumer Survey Reports will cover a maximum of 12 months on a rolling basis.
23.7.8 The Domestic Consumer Survey Reports published by the Code Manager shall contain aggregated data across all Energy Suppliers, and shall:
(a) contain the results reported by each Energy Supplier against survey questions 1, 2, 3, 4, 4a, 4b, 5, 5a, 6a and 6b (see the Survey templates) except where the sample size for an individual question is 30 or fewer responses;
(b) exclude free text comments from Consumers and demographic data;
(c) provide a descriptive explanatory narrative;

(d) for Energy Suppliers reporting on a quarterly cycle, contain a time series of data reported in the current and previous three quarters; and

(e) for Energy Suppliers reporting on an annual cycle, contain the most recent data reported.

ion Survey Methodology

23.8.1 Interviewing will be conducted via telephone (Computer Assisted Telephone Interviewing (CATI)) and/or online, taking into account Consumer preference and accessibility to telephone and online surveys.

23.8.2 Minimum sample size per Energy Supplier is included in Appendix 20. Energy Suppliers should ensure they chose a methodology with a sufficient response rate to meet the minimum sample size, noting that the response rates will vary, with online surveys generally having a lower response rate than telephone surveys. Samples should be drawn from all relevant installations carried out by the Energy Supplier in the relevant period.

23.8.3 If an Energy Supplier fails to meet the minimum sample size then the results should still be submitted to the Code Manager, together with an explanation e.g., low response rate, fewer installations carried out than expected. The Code Manager will inform the REC PAB of the size of the sample and the REC PAB will determine whether there are sufficient results for a robust comparison.

23.8.4 Each Energy Supplier shall take all reasonable steps to ensure the interviews are completed within 10 Working Days of installation, up to a maximum of 15 Working Days after installation.

23.8.5 Interviews will be spread over the quarter and not a snapshot in time.

23.8.6 Energy Suppliers will provide a complete list of completed installations to their chosen agency each week.

23.8.7 The selection of which days and times to interview the Consumer can be made by the independent Smart Meter Installation Survey Organisation to ensure the Market Research Society Code of Conduct is adhered to.

23.8.8 The selection of jobs to survey will be made by the Energy Supplier's chosen independent Smart Meter Installation Survey Organisation.

23.8.9 Each Energy Supplier shall provide to the Code Manager a one-off, short (approximately one page) summary of the methodology employed by the Energy Supplier's independent Smart Meter Installation Survey Organisation for the survey. This shall be provided alongside the first set of results to be submitted under this CoMCoP, unless previously submitted under the Smart Meter Installation Schedule or Smart Metering Installation Code of Practice. This methodology summary need only be submitted once, unless there is a substantive change to the methodology used, in which case, an updated methodology summary should be submitted. The summary should include:

(a) a summary of how Consumers were sampled:

i) how the Energy Supplier proposes to meet the minimum sample criteria;

ii) whether any Consumers are excluded from the research (e.g., because they have opted out);

iii) how differences in communication preference (e.g., online/telephone) were accounted for;

(b) the Energy Supplier's survey recruitment process, including;

i) how non-responders are followed up; and

ii) any incentives offered; and

(c) how the survey was administrated, including:

i) software used to support online/telephone data collection;

ii) introductory or explanatory text used;

iii) data privacy notices provided to Consumers; and

iv) whether the compliance questions included as part of a wider survey conducted by the Energy Supplier.
23.8.10 The methodology statements will be provided by the Code Manager on request to the Authority and/or the Smart Metering Implementation Programme.

ion Survey Reporting

23.9.1 The surveys are to be carried out on a 12-month period of a calendar year. If an Energy Supplier starts their survey during the year, then they will be required to provide results on a pro-rata basis for that calendar year beginning in the quarter that they begin to carry out surveys.
23.9.2 Reporting frequency can be found in Appendix 5.
23.9.3 A standardised reporting format will be provided to Energy Suppliers by the Code Manager, and Energy Suppliers will send data securely to the Code Manager via the REC Portal. All Energy Suppliers are to take the surveys and report within agreed prescribed periods.
23.9.4 Energy Suppliers are to submit a completed report to the Code Manager in line with the reporting timetable following the end of each relevant reporting period (see Appendix 5). This window of submission is to allow Energy Suppliers to conduct surveys for installations that take place up to and including the final Working Day of any given quarter.
23.9.5 Only the results of surveys for installations completed within the calendar quarter for any given report are to be included in that report, notwithstanding that surveys can be conducted up to a maximum of 15 Working Days post installation.
23.9.6 No Energy Supplier will be entitled to see other Energy Suppliers' results. The Code Manager shall keep them confidential and not disclose an Energy Supplier's report to any other Energy Supplier until such time as the Domestic Consumer Survey Reports is published.
23.9.7 When reporting the Domestic Consumer Survey results, Energy Suppliers should also provide the following information from their internal systems to address the demographic questions:
(a) Does the Consumer have a Priority Services Register (PSR) flag (Yes/No)?
(b) Is the meter mode set to credit/pre-payment?
(c) Does the Consumer pay by direct debit/other payment method?
(d) In which Grid Supply Point (GSP Group) is the Consumer?
Note Where the Consumer is a gas only Consumer and the registration data held by the Energy Supplier does not allow the GSP Group to be identified, the GSP Group should be reported as "n/a" in the survey results.
23.9.8 The responses to the survey will be submitted in the format described via the REC Portal using the file structure provided in the Domestic and Micro Business Customer Survey Templates which are on the REC Portal, under Party Operations and Useful Documents. Within this file the checksum is the total of the No. of 'Y', 'N', 'Don't Know' and free text answers from within the survey summary report details. This file format will be used for all questions, the first questions asked will be the meter installation questions and the next questions asked will be the demographic question.
Note: The checksum calculation should be the 'No. of surveys completed' value multiplied by the number of questions that is included in a survey. This includes both the survey question and sub-questions and should exclude the demographic survey questions.
23.9.9 Energy Suppliers shall ensure they do not provide the Code Manager with the personal data of any individual within the free text response.

Gas Involvement	Smart Involvement	Electricity Involvement	Work Category	Auditable Party
Gas Involvement	**Smart Involvement**	**Electricity Involvement**	**Work Category**	**Auditable Party**
AMI, MAM, ASP	ES	DNO, MOA, EMO, SIP	C1, C2 C3, C4	AMI, MAM, ASP, ES, DNO, MOA, EMO
AMI, MAM, ASP	ES	DNO. MOA, EMO, SIP	C1, C2 C3, C4	AMI, MAM, ASP, ES, DNO, MOA, EMO
AMI, MAM, ASP	ES	DNO, MOA, EMO, SIP	C1, C2 C3, C4	AMI, MAM, ASP, ES, DNO, MOA, EMO
AMI, MAM, ASP	ES	DNO, MOA, EMO, SIP	C1, C2 C3, C4	
AMI, MAM		DNO, MOA, EMO	C1, C2 C3, C4	AMI, MAM, DNO, MOA, EMO
AMI, MAM, ASP		DNO, MOA, EMO, SIP	C1, C2 C3, C4	AMI, MAM, ASP, DNO, MOA, EMO
AMI, MAM, ASP	ES	DNO, MOA, EMO, SIP	C1, C2 C3, C4	AMI, MAM, ASP, ES, DNO, MOA, EMO
AMI, MAM, ASP	ES	DNO, MOA, EMO, SIP	C1, C2 C3, C4	AMI, MAM, ASP, ES, DNO, MOA, EMO
AMI, MAM, ASP	ES	DNO, MOA, EMO, SIP	C1, C2 C3, C4	AMI, MAM, ASP, ES, DNO, MOA, EMO
AMI, MAM, ASP	ES	DNO, MOA, EMO, SIP	C1, C2 C3, C4	AMI, MAM, ASP, ES, DNO, MOA, EMO
AMI, MAM, ASP	ES	DNO, MOA, EMO, SIP	C1, C2, C3, C4	AMI, MAM, ASP, ES, DNO, MOA, EMO
	ES			ES

	ES			
Gas Involvement	**Smart Involvement**	**Electricity Involvement**	**Work Category**	**Auditable Party**
	ES			ES
	ES			ES
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	ES			ES
Gas Involvement	**Smart Involvement**	**Electricity Involvement**	**Work Category**	**Auditable Party**
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Gas Involvement	**Smart Involvement**	**Electricity Involvement**	**Work Category**	**Auditable Party**
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Gas Involvement	**Smart Involvement**	**Electricity Involvement**	**Work Category**	**Auditable Party**
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Gas Involvement	**Smart Involvement**	**Electricity Involvement**	**Work Category**	**Auditable Party**
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	ES			ES
Gas Involvement	**Smart Involvement**	**Electricity Involvement**	**Work Category**	**Auditable Party**
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Gas Involvement	**Smart Involvement**	**Electricity Involvement**	**Work Category**	**Auditable Party**
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Gas Involvement	**Smart Involvement**	**Electricity Involvement**	**Work Category**	**Auditable Party**
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