## 1 Overall Audit Numbers & Non-Conformances

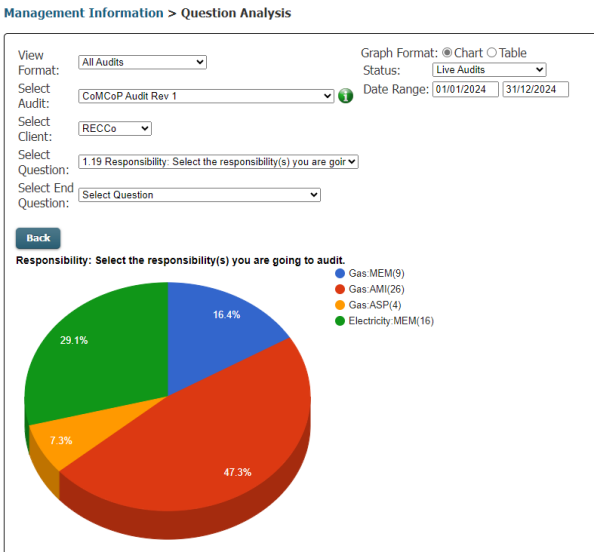
| Audit Type | Number of Audits | Number of Non Conformances |
|---|---|---|
| Registration | 132 | 0 |
| CoMCoP Rev 1 | 49 | 579 |
| CoMCoP Rev 2 | 53 | 538 |
| Gas Meter I & C site | 13 | 6 |
| V1 Gas site rec | 17 | 5 |
| V3 Gas compliance site | 30 | 8 |
| Electric Meter Site Rev1 | 11 | 2 |
| Electric Meter Site Rev2 | 14 | 2 |
| Total | 319 | 1140 |
| | | |

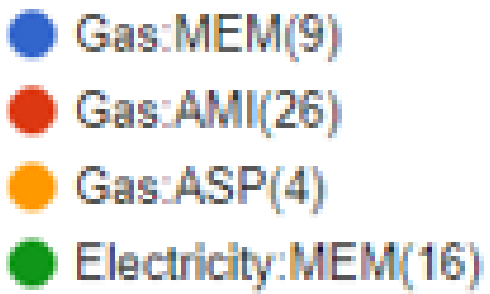
### Registration Audits

These are only used to inform where a company has completed requirements and is to be added to, or maintained on, the database as “Live” for registration purposes. The numbers do not always correlate as they are waiting for site audits in some cases.

### CoMCoP Rev1

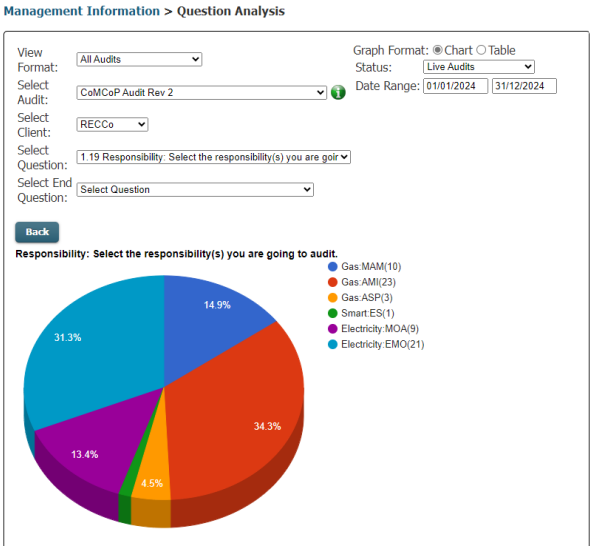
These are the audit requirements from March 23 – May 24. Part of the large numbers of Non-Conformances relate to the change in emphasis and requirements mainly electrical. There were still issues in getting requested information in a timely manner.



## CoMCoP Rev2

These are the audit requirements from July 24. Part of the large numbers of Non-Conformances relate to the change in emphasis and requirements mainly electrical. There were still issues in getting requested information in a timely manner.







## Technical Audits

These are site audits.

Gas and Electric – expanded in audit section below.

## 2 Electric Specific Audit Numbers & Non-Conformances

| Audit Type | Number of Audits | Number of audits defected |
|---|---|---|
| CoMCoP Rev 1 – Electric Only MEM | 16 | 10 |
| CoMCoP Rev 2 – Electric Only MOA | 9 | 14 |
| CoMCoP Rev 2 – Electric Only EMO | 21 | |
| Electric Meter Technical Rev 1 | 11 | 2 |
| Electric Meter Technical Rev 2 | 14 | 2 |

**CoMCoP – Rev 1**

**Electric Audits only**

Of the 16 audits carried out 10 have Non-Conformances recorded against them.

| Ref | Number of defects | | Ref | Number of defects |
|---|---|---|---|---|
| 160547 | 151 | | 162408 | 60 |
| 161060 | 70 | | 162821 | 120 |
| 161356 | 1 | | 162972 | 61 |
| 161823 | 9 | | 163628 | 4 |
| 161204 | 12 | | | |
| 162407 | 5 | | | |
| | | | | |

As you can see from the above, 5 audits have the majority of the Non-Conformances. These tend to suggest a lack of understanding of requirements and information needed to show compliance.

On further review, sufficient information has been supplied to comply with the requirements or limited scopes have been identified to resolve.

Where identified, questions have been amended to include N/A (not applicable) as an option to allow limitations to be resolved.

**The following table shows the number of occurrences above 3 for the above. Full table available in XL document "CoMCoP rev1 actions"**

| Question No. | Question | frequency |
|---|---|---|
| 13.1.1 | Does the company review the competency of its staff and sub-contractors on a periodic basis in accordance with a documented procedure?Is the review of the competency led by an appropriately qualified and experienced Engineer or Manager (min EngTech) | 8 |
| 24.1 | Has the company demonstrated compliance withCoMCoP? | 8 |
| 2.3 | Are all references to Legislation and Technical Standards maintained and up to date with the latest versions? | 7 |
| 20.5.4 | Does the MEM/AMI have a process in place to support the appointed person to oversee this competency management process in the case they are underqualified?Min Eng Tech - external or internal | 7 |
| 11.1.1 | Does the company have an understanding have a process in place for Consumer approval to enter the property? No Statutory right; | 5 |
| 13.1.5 | Does the company ensure that Meter Installers carry on Site with them their certificate of competency detailing the work for which they are authorised? | 5 |
| 14.1.11 | Does the company ensure that whenever work is carried out at the meter position (including but not exclusively new connections service alterations meter changes and connection | 5 |

| | | |
|---|---|---|
| | of additional Customers' circuits) conductors shall be coloured and marked? | |
| 15.6.2 | Does the company have processes in place to ensure that when non suitable installations are identified that the Meter Installation is appropriate for the consumer's needs and complies with the relevant legislation and Codes of Practice and recorded with report to MEM?vulnerable customers | 5 |
| 2.4 | Are all Supplier obligations understood and acted upon as required? | 5 |
| 20.5.2 | Does the MEM have a system in place to manage the competency of staff and sub-contractors throughout the supply chain? | 5 |
| 5.1.1ai) | Is there an awareness of safety with ability to refuse to carry out work if it is considered unsafe? | 5 |
| 11.1.2 | Does the company have procedures for use of customer Keys checked recorded and any issues dealt with appropriately? | 4 |
| 11.1.5 | Is the company aware that where there are access problems they can check whether the Customer has an authorised person for the Site who can grant access | 4 |
| 11.3.3 | Is an assessment process in place to determine whether to replace with an identical meter installation component or to upgrade to current Standards. | 4 |

| | | |
|---|---|---|
| 11.5.10 | Are Complex Installations carried out by appropriately qualified and experienced operatives under appropriate Supervision with approved Method Statements and Risk Assessments? | 4 |
| 11.5.9 | Are Prepayment Meters exchange issues dealt with correctly? Suitability of location | 4 |
| 14.1.12 | Does the company ensure that metering point principles are adopted? | 4 |
| 14.7.3 | Does the company have processes to ensure that where damage is found by a Meter Installer then he shall inform all relevant persons.? | 4 |
| 14.7.4 | Does the company have processes for where damage is found to be deliberate? | 4 |
| 14.7.5 | Does the company have processes for where damaged Metering Equipment needs to be replaced? | 4 |
| 14.7.6 | Does the company have processes for where damage has been such as to interfere with the correct operation of the Metering Equipment? | 4 |
| 15.2.2 | Are Identity Cards Issued Relevant and in date? | 4 |
| 15.4.2 | Is there evidence of availability & provision of descriptive Information in relation to the consumer owned elements of the Meter Installation for all the categories required?labelling? | 4 |
| 16.3.1 | Is there evidence installation records are maintained throughout the operational life of the complete installation? | 4 |

| | | |
|---|---|---|
| 18.1.3 | Are there records that detail and confirm compliance with Safety requirements including RIDDOR ESQCR etc reporting obligations for all the categories required? | 4 |
| 2.1 | Is there a process to create amend and approve policies procedures and company standards? | 4 |
| 20.1.3 | Are Audit procedures documented in place for all activities with evidence of rationale? | 4 |
| 20.1.4 | Does the Audit Procedure have all the required checks and records? | 4 |
| 20.9.16 | Is there evidence that each MEM reviews the validity and accuracy of the information it issues to each DNO at least annually or following an organisational or policy change? | 4 |
| 3.1.3 | Is there evidence that records of Meter Installation are fully documented including each component in the required categories? | 4 |
| 5.1.1aii) | Is a risk assessment carried out for work at the site? | 4 |
| 5.2.3 | Do you understand your responsibilities and have taken necessary precautions? | 4 |
| 6.1.1a | Does the company have suitable processes in place for the vetting of Employees? | 4 |
| 6.1.2 | Have you been authorised by the DNO under its Distribution Safety Rules to operate DNO Equipment and/or enter DNO controlled substations ? | 4 |

| | | |
|---|---|---|
| 6.2.2 | Are individual Meter Installers working directly on Site comply with relevant documented requirements imposed on the MEM? | 4 |
| 8.1.3 | Does the company's nominated 'points of contact' have the authority to agree an appropriate course of action. | 4 |
| 8.1.4 | Is the company's nominated 'points of contact' aware of their responsibility to pass information onto any affected Meter Installers. | 4 |

**CoMCoP – Rev 2**

**Electric Audits only**

Of the 30 audits carried out 14 have Non-Conformances recorded against them.

| Ref | Number of defects | | Ref | Number of defects |
|---|---|---|---|---|
| 164719 | 77 | | 166019 | 4 |
| 165152 | 15 | | 166250 | 4 |
| 165202 | 2 | | 166412 | 49 |
| 165237 | 10 | | 167367 | 4 |
| 165250 | 6 | | 167494 | 3 |
| 165924 | 1 | | 167544 | 90 |
| 165955 | 5 | | 167552 | 141 |

As you can see from the above, 4 audits have the majority of the Non-Conformances. These tend to suggest a lack of understanding of requirements and information needed to show compliance.

On further review, sufficient information has been supplied to comply with the requirements or limited scopes have been identified to resolve.

**The following table shows the number of occurrences above 3 for the above. Full table available in XL document "CoMCoP rev2 actions"**

| Question No. | Question | Frequency |
|---|---|---|
| 13.1.1 | Does the company review the competency of its staff and sub-contractors on a periodic basis in accordance with a documented procedure?Is the review of the competency led by an appropriately qualified and experienced Engineer or Manager (min EngTech) | 9 |

| | | |
|---|---|---|
| 24.1 | Has the company demonstrated compliance withCoMCoP? | 7 |
| 11.2.3 | Does the company have processes in place to ensure access is subject to control procedures in shared premises? | 5 |
| 11.2.6 | Is the company aware of the options of other cases where for example interface equipment or the meter position is situated in a substation where access is restricted under the relevant Distribution Safety Rules? | 5 |
| 11.9.7 | Will the company ensure that its Meter Installers have access to a current version of the Guidance for Service Termination Issue Reporting document while on Site? | 5 |
| 14.7.4 | Does the company have processes for where damage is found to be deliberate? | 5 |
| 14.7.5 | Does the company have processes for where damaged Metering Equipment needs to be replaced? | 5 |
| 15.1.1 | Are there standards to ensure that installers suitably present themselves? | 5 |
| 15.6.2 | Does the company have processes in place to ensure that when non suitable installations are identified that the Meter Installation is appropriate for the consumer's needs and complies with the relevant legislation and Codes of Practice and recorded with | 5 |

| | | |
|---|---|---|
| | report to MEM?vulnerable customers | |
| 20.5.3 | Does the MAM/AMI have a specific qualified person appointed to oversee this competency management process?Min Eng Tech | 5 |
| 20.5.4 | Does the company have a process in place to support the appointed person to oversee this competency management process in the case they are underqualified?Min Eng Tech - external or internal | 5 |
| 7.3.3 | Does the company have processes in place to ensure that where instruments are used for voltage measurement they shall be equipped with fused leads | 5 |
| 11.1.1 | Does the company have an understanding and have a process in place for Consumer approval to enter the property? No Statutory right; | 4 |
| 11.1.2 | Does the company have procedures for use of customer Keys checked recorded and any issues dealt with appropriately? | 4 |
| 11.1.3 | Does the company have procedures to ensure that the opportunity to enter premises and homes is not abused? | 4 |

| | | |
|---|---|---|
| 11.5.1 | Is there evidence that the meter location has been checked and approved for safe installation? Where unsafe has the appropriate action been taken? | 4 |
| 11.5.10 | Are Complex Installations carried out by appropriately qualified and experienced operatives under appropriate Supervision with approved Method Statements and Risk Assessments? | 4 |
| 11.6.10 | Is there evidence to ensure that it is safe to connect installations at a meter installation where it may be reconnecting existing circuits or adding new circuits.? | 4 |
| 11.6.9 | Is there evidence to ensure that work is carried out safely when connecting an installation that is found disconnected or de-energised or where additional circuits are to be added? | 4 |
| 11.8.1 | Are Tamper Checks completed and issues dealt with correctly? Notifications. | 4 |
| 11.8.2 | Is there evidence of procedures to record tampering / theft or meter status incidents relating to the Meter Installation for all the categories required? | 4 |
| 11.9.11 | Will the company ensure that technical problems are reported? | 4 |
| 13.1.2 | Does the company ensure that the design is to appropriate standards for installation by competent persons? | 4 |

| | | |
|---|---|---|
| 13.1.3 | Does the company ensure that work is only issued to appropriately qualified operatives? | 4 |
| 14.7.1 | Does the company have processes to ensure damage is reported? | 4 |
| 14.7.3 | Does the company have processes to ensure that where damage is found by a Meter Installer then he shall inform all relevant persons.? | 4 |
| 14.9.1 | When there is evidence of tampering or interference are the correct procedures followed? | 4 |
| 15.2.1 | Are there procedures to ensure installers present themselves correctly to customers? | 4 |
| 15.2.2 | Are Identity Cards Issued Relevant and in date? | 4 |
| 18.1.3 | Are there records that detail and confirm compliance with Safety requirements including RIDDOR ESQCR etc reporting obligations for all the categories required? | 4 |
| 2.4 | Are all Supplier obligations understood and acted upon as required? | 4 |
| 6.1.1a | Does the company have suitable processes in place for the vetting of Employees? | 4 |
| 7.2.3 | Does the company have processes in place to ensure that all portable measuring devices are calibrated? | 4 |

| | | |
|---|---|---|
| 7.3.2 | Does the company have processes in place to ensure that all portable instruments used for commissioning purposes are fit for purpose? | 4 |

**Electrical Site audits**

| Audit Type<br>“Site” (Technical) | Number of Audits | Number of Non Conformances |
|---|---|---|
| Electric Meter Site Rev1 | 11 | 2 |
| Electric Meter Site Rev2 | 14 | 2 |
| Total | 25 | 4 |

**Site Rev 1**

| Ref | Number of defects | | Question number | description | Frequency |
|---|---|---|---|---|---|
| 161284 | 1 | | 4.4 | Are sealing pliers in good condition and producing a legible seal?Provide number if availableshould be visible/legible on seal | 2 |
| 161286 | 1 | | | | |

Of the 11 audits 2 had defects as shown above

**Site Rev 2**

| Ref | Number of defects | | Question number | description | Frequency |
|---|---|---|---|---|---|
| 166134 | 2 | | 6.13. | Was the meter installed and connected in accordance with the companies safe systems of work? | 1 |
| | | | 6.4. | Are cables appropriately identified? | 1 |

Of the 14 audits 1 had defects as shown above

## 3 Gas Specific Audit Numbers & Non-Conformances

| Audit Type<br>"Office" | Number of Audits | Number of Audits defected |
|---|---|---|
| CoMCoP Rev 1 – Gas Only | (39) | 13 |
| MEM | 9 | |
| AMI | 26 | |
| ASP | 4 | |
| CoMCoP Rev 2 – Gas Only | (37) | 10 |
| MAM | 10 | |
| AMI | 23 | |
| ASP | 3 | |
| Smart | 1 | |
| Gas Meter I & C site | 13 | 6 |
| V1 Gas site rec | 17 | 5 |
| V3 Gas compliance site | 30 | 8 |
| | | |
| Total | | |

**CoMCoP – Rev 1**

**Gas Audits only**

Of the 39 audits carried out 13 have Non-Conformances recorded against them.

| Ref | Number of defects | | Ref | Number of defects |
|---|---|---|---|---|
| 161035 | 9 | | 162841 | 1 |
| 161176 | 32 | | 163222 | 4 |
| 161551 | 28 | | 163904 | 2 |
| 161641 | 2 | | 163944 | 2 |
| 161701 | 2 | | 164422 | 1 |
| 161822 | 1 | | 164555 | 1 |
| 162470 | 1 | | | |

As you can see from the above, 2 audits have the majority of the Non-Conformances. These tend to suggest a lack of understanding of requirements and information needed to show compliance.

On further review, sufficient information has been supplied to comply with the requirements or limited scopes have been identified to resolve.

**The following table shows the number of occurrences above 1 for the above. Full table available in XL document "CoMCoP rev1 actions"**

| Question No. | Question | frequency |
|---|---|---|
| 23.2.3 | Is there evidence in place that details inspections in relation to portable tools and equipment?PAT testing etc | 4 |
| 20.1.2 | Are Audit systems in place and followed?with proof of audits carried out. | 3 |
| 11.4.5 | Is there evidence of relevant test certificates as required by industry standards are available for all the categories required? | 2 |
| 13.1.1 | Does the company review the competency of its staff and sub-contractors on a periodic basis in accordance with a documented procedure?Is the review of the competency led by an appropriately qualified and experienced Engineer or Manager (min EngTech) | 2 |
| 14.10.5 | Is there a evidence that details required labelling and record keeping where Cessation of Supply is required? Meter Removal; Purging; Transport; Storage; Disposal; Duty of Care. | 2 |

| | | |
|---|---|---|
| 14.10.8 | Is there evidence in place that details and confirms PRIOR TO REMOVAL the correct electrical continuity measures are in place for all the categories required? | 2 |
| 16.3.1 | Is there evidence installation records are maintained throughout the operational life of the complete installation? | 2 |
| 16.3.8 | Does the company have processes in place to ensure test and commissioning records are created and made available as required? | 2 |
| 18.1.3 | Are there records that detail and confirm compliance with Safety requirements including RIDDOR ESQCR etc reporting obligations for all the categories required? | 2 |
| 18.1.6 | Are there records that detail and confirm compliance with Industry Unsafe situations reporting procedures for all the categories required? | 2 |
| 2.6 | Does the company have policies in place for the Employment of Contractors? | 2 |
| 20.1.4 | Does the Audit Procedure have all the required checks and records? | 2 |
| 20.5.2 | Does the MEM have a system in place to manage the competency of staff and sub-contractors throughout the supply chain? | 2 |
| 20.9.17 | Is there evidence that the company maintains an internal site safety audit procedure to ensure compliance with the obligations prescribed within this Agreement. The results of the internal site safety audits will be made available upon request to the Code Manager? | 2 |

**CoMCoP – Rev 2**

**Gas Audits only**

Of the 37 audits carried out 10 have Non-Conformances recorded against them.

| Ref | Number of defects | | Ref | Number of defects |
|---|---|---|---|---|
| 164981 | 13 | | 166681 | 5 |
| 165298 | 9 | | 166699 | 1 |
| 165347 | 1 | | 167118 | 11 |
| 165505 | 10 | | 167559 | 70 |
| 165748 | 6 | | | |
| 166618 | 1 | | | |
| | | | | |

As you can see from the above, 4 audits have the majority of the Non-Conformances. The largest tends to suggest a lack of understanding of requirements and information needed to show compliance.

On further review, sufficient information has been supplied to comply with the requirements or limited scopes have been identified to resolve.

Where identified, questions have been amended to include N/A (not applicable) as an option to allow limitations to be resolved.

**The following table shows the number of occurrences above 1 for the above. Full table available in XL document "CoMCoP rev2 actions"**

| Question No. | Question | Frequency |
|---|---|---|
| 13.1.1 | Does the company review the competency of its staff and sub-contractors on a periodic basis in accordance with a documented procedure?Is the review of the competency led by an | 5 |

| | | |
|---|---|---|
| | appropriately qualified and experienced Engineer or Manager (min EngTech) | |
| 20.1.4 | Does the Audit Procedure have all the required checks and records? | 5 |
| 20.5.3 | Does the MAM/AMI have a specific qualified person appointed to oversee this competency management process?Min Eng Tech | 5 |
| 20.5.6 | Does the supporting person/consultant possess the appropriate level of operational experience and within the gas industry and hold membership of an appropriate professional institution to at least Eng Tech level or I Eng as appropriate? | 5 |
| 20.1.2 | Are Audit systems in place and followed?with proof of audits carried out. | 4 |
| 20.1.3 | Are Audit procedures documented in place for all activities with evidence of rationale? | 4 |
| 20.5.4 | Does the company have a process in place to support the appointed person to oversee this competency management process in the case they are | 4 |

| | | |
|---|---|---|
| | underqualified?Min Eng Tech - external or internal | |
| 20.5.5 | Does the competency of the designated Engineer or Manager relate specifically to the category of accreditation? | 4 |
| 24.1 | Has the company demonstrated compliance withCoMCoP? | 4 |
| 16.1.1 | Is there a suitably qualified person to coordinate work for the Meter Installation? | 3 |
| 2.1 | Is there a process to create amend and approve policies procedures and company standards? | 3 |
| 4.2.1 | Can it be demonstrated that adequate measures are in place to ensure the accuracy of data provided? | 3 |
| 6.2.1 | Does the company have processes in place to confirm and maintain the Competency of Employees and Contractors? | 3 |
| 11.4.5 | Is there evidence of relevant test certificates as required by industry standards are available for all the categories required? | 2 |

| | | |
|---|---|---|
| 14.8.1 | Does the company have processes in place to ensure no works create incorrect registration of Gas Consumption?Note: This includes design work and meter selection activities | 2 |
| 19.2.1 | Does the company have Complaint handling process in place and is it understood and used correctly? | 2 |
| 2.3 | Are all references to Legislation and Technical Standards maintained and up to date with the latest versions? | 2 |
| 23.2.3 | Is there evidence in place that details inspections in relation to portable tools and equipment?PAT testing etc | 2 |
| 5.4.1 | Does any equipment supplied comply with regulations? | 2 |
| 6.1.1a | Does the company have suitable processes in place for the vetting of Employees? | 2 |
| 6.2.1 | Does the company have processes in place to confirm and maintain the Competency of Employees and Contractors? | 2 |
| 7.1.3 | Does the company have processes in place to ensure the Use of Stamped Meters? | 2 |

## Gas Technical Audits

| Audit Type<br>“Site” (Technical) | Number of Audits | Number of Non Conformances |
|---|---|---|
| Gas Meter I & C site | 13 | 6 |
| V1 Gas site rec | 17 | 5 |
| V3 Gas compliance site | 30 | 8 |
| Total | 60 | 19 |

## Gas Meter I & C site

Of the 13 audits 5 had all the defects.

This relates to providing correct evidence and was resolved on review.

| Ref | Number of defects | | Question number | description | Frequency |
|---|---|---|---|---|---|
| 161100 | 1 | | 33. | Inlet outlet pipe work secure | 3 |
| 161266 | 1 | | 35. | ECB Evident or customer card left | 1 |
| 162187 | 2 | | | AMI CONTRACTOR | 2 |
| 162845 | 1 | | | | |
| 163399 | 1 | | | | |

## V1 Gas site rec

Of the 17 audits 5 had all the defects.

| Ref | Number of defects | | Question number | description | Frequency |
|---|---|---|---|---|---|
| 160719 | 1 | | 2.8. | Comprehensive 1st Aid Kit available and readily accessible? | 1 |
| 161372 | 1 | | 4.8. | Ventilation to meter area to adequate | 1 |
| 162012 | 2 | | 6.5. | Inlet outlet pipe work secure | 2 |
| 162479 | 1 | | 6.7. | ECB Evident or customer card left | 1 |

**V3 Gas compliance site**

Of the 30 audits 8 had all the defects

| Ref | Number of defects | | Question number | description | Frequency |
|---|---|---|---|---|---|
| 165327 | 1 | | 20. | Meter handling and transportation? | 1 |
| 166236 | 1 | | 26. | Has the regulator outlet pressure been checked and is the regulator sealed (AMI number visible as requested)? | 1 |
| 166575 | 3 | | 35. | ECB Evident or customer card left? | 2 |
| 166738 | 2 | | 36. | All necessary labels attached? | 1 |
| 167283 | 1 | | 38. | ECV handle correctly positioned? | 1 |
| | | | 53. | Job details correct?Review against completed documentation for PC audits. | 1 |
| | | | | Gas Safe card shown in date and work type satisfactory for the work being done? | 1 |

All of these relate to operational requirements and were resolved on review.