

June 2017

A large, stylized graphic element on the right side of the page. It consists of a thick, curved line that starts in a dark blue color at the top and transitions into a bright red color at the bottom, forming a shape reminiscent of a stylized 'C' or a swoosh.

S M I C o P

*smart metering installation code of practice*

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## DEFINITIONS

### Glossary of Terms

Other terms which are undefined in the Code take the same meaning as in the SLCs.

“Alternative Display” means an alternative to an In-Home Display which may be and/or is (as the case may be) provided by the Supplier to the Customer pursuant to and in accordance with an Alternative Display Direction;

“Alternative Display Direction” means a direction given by the Secretary of State to the Supplier under paragraph 40.10 of standard licence condition 40 of the Supplier's electricity supply licence and/or paragraph 34.12 of standard licence condition 34 of the Supplier's gas supply licence (as the case may be).

“the Authority” means the Gas and Electricity Market Authority;

“Code” means this Code of practice for the installation of Smart Metering Systems as required by the gas and electricity supply licence conditions;

“Code Auditor” means the entity procured by SMICoP Ltd to independently audit SMICoP Members in accordance with Clause 3.3;

“Customer” means the person(s) occupying the premises where the Smart Metering System is to be installed, or who is a responsible adult with suitable authority to allow access to the premises;

“Data Guide” means to provide a Customer with information about what data is collected from smart meters and what that the information will be used for and sets out the rights and choices that apply to the Customer in relation to smart metering information;

“Domestic Customer” means a Customer at premises at which a supply of electricity or gas is taken wholly or mainly for a domestic purpose and “domestic premises” is to be construed accordingly, except where that premises is a Non-Domestic Premises;

“Energy Efficiency Guidance” means provision of information (on behavioural changes, and generic goods, services or building changes) that could assist the Customer in making informed judgements about the way they can improve the efficiency with which they use their electricity and/or gas;

“HAN” means the Home Area Network related to the Smart Metering System;

“IHD” means the In Home Display. It is an electronic device, linked to a smart meter, which provides information on a Customer's energy consumption. For the avoidance of doubt an Alternative Display is not an IHD;

“Installation Appointment” means a band of time agreed with the Customer for the purpose of installing a Smart Metering System;

“Installation Visit” means a visit to a Customer’s premises for the purpose of installing, or completing the installation of, a Smart Metering System or any part thereof;

“Installer” means any individual authorised by a Member who represents a Member for the purposes of installing a Smart Metering System in Domestic and Micro Business Customers’ premises;

“Interoperability” means the ability of diverse systems; devices or organisations to work together (interoperate);

“Large Supplier” means a Supplier with at least 250,000 electricity Customers, or at least 250,000 gas customers;

"Licensee" means any person authorised to supply electricity or gas, as defined in the Electricity Act 1989, and Gas Act 1986;

“MAMCoP” means the Meter Asset Managers Code of Practice. The MAMCoP specifies the requirements for all stages of the gas meter installation's life;

“Marketing” means any onsite activity by the Member in the presence of the Customer (or any other person of the premises) promoting the provision of any goods or services<sup>1</sup> as defined in the supply licence condition<sup>2</sup>;

“Member or Members” means an organisation(s) signed up to adhere to this Code;

“Micro Business Customer” means a Non-Domestic Customer which meets one of the following criteria: Consumes less than 293,000kWh of gas or less than 100,000kWh of electricity a year, or has fewer than ten employees (or their full-time equivalent) and an annual turnover or annual balance sheet total not exceeding €2m<sup>3</sup>;

“MOCOPA” means the Meter Operation Code of Practice Agreement and defines the operational arrangements between meter operators and distribution businesses to support

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<sup>1</sup> The restrictions on Marketing do not prevent the promotion or delivery of goods and services for which there is no direct charge to the individual Customer, such as those that a Member offers under the Energy Company Obligation (ECO), or other additional products that Suppliers may offer to Vulnerable Customers, such as carbon monoxide monitors.

The definition of Marketing does not include the provision of Energy Efficiency Guidance, as defined above.

<sup>2</sup> Licence Conditions for a Code of Practice for the Installation of Smart Electricity and Gas Meters 2012.

<sup>3</sup> Condition 7A; Supply to Micro Business Consumers, ELECTRICITY ACT 1989 Standard conditions of electricity supply licence.

the electricity meter installation and maintenance processes. The agreement authorises meter operators to install and connect meters to the electricity network by clarifying that the equipment being provided, installed and maintained meets appropriate technical requirements and that work is carried out to relevant safety standards;

“NSAP” means the National Skills Academy for Power;

“OAMI” means the Ofgem Approved Meter Installers and are registered entities (on behalf of a Meter Asset Manager) that conform to one or more of the Codes of Practice in relation to meter installation;

“Personnel” means the generic term for employees of a Member, but will relate to different individuals/teams dependent upon the nature of the clause. References to 'Personnel' will be considered in relation to a particular Clause, to mean only the specific individuals or teams relevant to the nature of that Clause;

“Post-Installation” means the period after the Installation Visit, up to the Customer receiving the first bill using smart meter data for meters in credit mode, or the first vend for meters in prepayment mode;

“Prepayment” means the meter is configured so that the payment for energy is to be made in advance of use;

“Pre-Installation” means the activities associated with arranging the installation of a smart metering system that take place prior to the Installation Visit, for example, arranging an Installation Visit or Installation Appointment, raising Customer awareness and engagement in smart metering;

“Proactive Install and Leave” means following the process set out in the Electricity Supply Licence and the Gas Supply Licence;

“the Programme” means the Government programme for delivery of smart metering in Great Britain. The Programme is responsible for overseeing the development and implementation of policy, including establishing the commercial and regulatory framework to facilitate the roll-out;

“a Protected” Micro Business site means a site that is defined as a category A or B gas priority user under the emergency arrangements. They are sites that get left on gas in an emergency as shutting them down would endanger life. This would include hospital, care homes etc;

“Reactive Install and Leave” means following the process set out in the Electricity Supply Licence and the Gas Supply Licence;

“Representative” means someone who speaks or does something officially for another person or group of people;

“Sales” means a purchase or commitment to purchase (e.g. by contract) a good or service<sup>4</sup>;

“Smart Metering System” has the meaning given to it in the Gas and Electricity Supply Licence. Is comprised of the system components required to deliver the smart functionality; meter, WAN, HAN and an IHD (where provided);

“Small Supplier” means a Supplier with fewer than 250,000 electricity Customers, and fewer than 250,000 gas Customers;

“Supplier” means an organisation that holds a gas supply licence and/or an electricity supply licence and has acceded to the Code;

“Survey Organisation” – a professional market research agency, independent of the Supplier Member, who adheres to the MRS Code of Conduct.

“SLC” means a Supply Licence Condition, which refers to particular conditions within either the Gas or Electricity Supply Licences;

“Vulnerable” means a Customer who is classed as Vulnerable according to the following definition:

A Customer is vulnerable, who, due to their Personal Characteristics or Circumstance, or otherwise being in a vulnerable situation, may require Priority Services or additional support.

“Personal Characteristics or Circumstance” includes:

(a) The Domestic Customer being of pensionable age.

(b) The Domestic Customer being chronically sick, or having an impairment, disability, long term medical condition (including but not limited to a visual, auditory, literacy or mobility impairment), or severe financial insecurity (they are unable to safeguard their personal welfare of the personal welfare of other members of the household).

“WAN” means the Wide Area Network related to the Smart Metering System.

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<sup>4</sup> Licence Conditions for a Code of Practice for the Installation of Smart Electricity and Gas Meters 2012.



# **Section A**

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## **The Code of Practice**

# 1. SCOPE OF THE CODE

## 1.1.In Scope

The Smart Metering Installation Code of Practice specifies the minimum standards for Members to follow in relation to the Customer facing aspects of the installation of Smart Metering Systems. The aim of the Code is for the Customer experience of the installation process to be positive, to protect Customers during the process, for Customers to be given appropriate assurances over what will take place during the installation process, and to deliver Programme benefits, including long term behavioural changes.

The Code covers those Smart Metering Systems, for both electricity and gas. The Code is applied on a voluntary basis for Smart Metering Systems not installed under licence obligations.

The Code is applicable to all Domestic and Micro Business Suppliers except where the Code is explicit that the conditions apply to one or other.

The Code describes specific activities in the period running up to an Installation Visit, the installation itself, and the period from the Installation Visit to the Customer receiving the first bill using smart meter data for meters in credit mode, or the first vend for meters in prepayment mode.

The Code is intended to cover the first gas and/or electricity Smart Metering System installed under licence obligation. The pertinent clauses will be applied for subsequent Smart Metering System installations.

## 1.2.Not in Scope

The Code is not a technical document; the technical elements of Installation are covered under the existing MAMCoP, MOCOPA and OAMI Codes, together with industry standards (such as BS 6400 1-3, BS7671). The Code does not seek to replicate existing codes of practice, licence conditions and legislation but references these as appropriate.

It does not cover “business as usual” activities such as on-going billing and revenue collection.

The Code does not cover the Installation of replacement Smart Metering Systems, but where relevant, could be applied on a voluntary basis.

The Installation of Smart Meters for emergency reasons is not in scope, e.g. damaged meters, unsafe meters, faulty or failed meters. If the Smart Metering System installed in these circumstances is the first for that site, there will be follow up activity by the Member.

The Installation of a Smart Metering System by a metering agent appointed directly by the Customer is not in scope, but all metering agents are encouraged to operate in line with the Code on a voluntary basis.

The Code does not address issues around change of tenancy as these do not relate to a specific Installation event. Members will adopt their own strategies for engaging with Customers upon a change of tenancy where a Smart Metering System has already been installed.

Data privacy and security are not in scope of the Code as these are covered under existing data protection legislation.

### **1.3.Third Parties**

Where a Member contracts with a third party for the provision of installation services, the Member is responsible for ensuring compliance with all components of the Code.

There is no difference in the standards and requirements applied to contracted third parties and their employees from those applied to a Member and its employees.

### **1.4.Code Structure**

The Code is divided into the three phases of the end to end process; Pre-Installation, Installation and Post Installation.

## 2. PRE-INSTALLATION

The relevant regulations and accreditation listed should not be taken as an exhaustive list.

### 2.1.Relevant Legislation and Regulation

Clauses contained within this section may reference both the “Electricity Act 1989, Standard conditions of electricity supply licence” and the “Gas Act 1986, Standard conditions of gas and supply licence”. These will be denoted by Electricity SLC or Gas SLC.<sup>5</sup>

2.1.1.Arrangements for Site Access, Electricity and Gas SLC 13

2.1.2.Licensee to publish the Code on its website;

2.1.2.1.Domestic: Electricity SLC 41.20(b) and Gas SLC 35.20(b)

2.1.2.2.Micro Business: Electricity SLC 42.14(b) and Gas SLC 36.14(b)

2.1.3.Licensee to give a copy of the Code to any person that requests it;

2.1.3.1.Domestic: Electricity SLC 41.21 and Gas SLC 35.21

2.1.3.2.Micro Business: Electricity SLC 42.15 and Gas SLC 36.15

2.1.4.Marketing electricity or gas to Domestic Customers, Electricity and Gas SLC 25

2.1.5.Services for specific Domestic Customer Groups, Electricity and Gas SLC26

2.1.6.General Information for Domestic Customers, Electricity and Gas SLC31

2.1.7.Guaranteed Standards of Performance<sup>5</sup> (GS8)

2.1.8.Advertising Standards Agency’s Code of Conduct

2.1.9.Data Protection Act 1998

### 2.2.Relevant Accreditation

2.2.1.National Skills Academy for Power

2.2.2.Registration with Gas Safe Register (for the appropriate meter work categories)

2.2.3.QCF and ACS Gas Qualifications

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<sup>5</sup> The Supply Licence Conditions and Guaranteed Standards of Performance can be found on the Ofgem website; <http://www.ofgem.gov.uk/>

- 2.2.4. Energy Efficiency Schemes – City & Guilds / NVQs, or equivalent
- 2.2.5. Meter Asset Manager’s Code of Practice (MAMCoP) – Gas
- 2.2.6. ESTA Automated Meter Reading Service Providers Code of Practice (ASPCoP)
- 2.2.7. IGEN Standards

## **2.3. Promoting the Code**

It is each Member’s responsibility to ensure that;

- 2.3.1. Prior to or during the Installation Visit, all reasonable endeavours should be used to inform the Customer (by whatever means deemed appropriate) that the Member is a signatory to the Code and what this means; and
- 2.3.2. Relevant smart metering related literature states that the Member is a signatory to the Code.

## **2.4. Engagement and Customer Awareness**

It is each Member’s responsibility to ensure that their communication materials regarding Smart Metering System installations and energy efficiency goods and services;

- 2.4.1. Complement any Programme provided consumer engagement material<sup>6</sup>;
- 2.4.2. Are clear, concise and drafted in a way that it is reasonably expected that they will be understood by the Customer
- 2.4.3. Are made available to the Customer in a variety of media and in a format appropriate to or tailored for;
  - 2.4.3.1. Groups with specific needs – such as the visually impaired, hearing impaired, and those with low levels of literacy;
  - 2.4.3.2. Vulnerable Customers;
- 2.4.4. Alert the Customer to the benefits smart metering can bring, for example, an improved understanding of energy consumption, bills for actual consumption rather than estimated, information and advice about their Smart Metering System and how they

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<sup>6</sup> Subject to consumer engagement material being made available by the Programme.

can use it to improve their energy efficiency, and the availability and range of energy efficiency goods and services available;

2.4.5. Point the Customer to sources from which they may obtain additional and impartial information or assistance about improving the efficiency with which they use the electricity and/or gas supplied to them, for example, generic information about the Green Deal<sup>7</sup> programme;

2.4.6. Are updated regularly and in a timely way;

In addition;

2.4.7. Members should use all reasonable endeavours in communicating with the Customer for whom English is not their first language;

2.4.8. All interactions with the Customer in relation to the Installation Visit (verbal or written) should follow the principles as set out in this section and complement the principles of the Code; and

2.4.9. All reasonable endeavours should be used to provide the Customer with a copy of the Data Guide or make the Customer aware of the Data Guide commitments prior to the Installation Visit.

## 2.5. Recruitment

As an intrinsic part of the recruitment process, it is each Member's responsibility to ensure that;

2.5.1. Only suitable individuals are engaged as Installers;

2.5.2. Qualifications and experience are validated;

2.5.3. Suitable registration is verified with the Gas Safe Register in terms of work on gas meters;

2.5.4. All reasonable endeavours are taken to obtain information about the individual's previous relevant employment;

2.5.5. *A Disclosure Scotland check is carried out for all new Installers recruited, and the results of this check are appropriately factored in to the recruitment decision;*<sup>7</sup>

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<sup>7</sup> The Green Deal is a government initiative to help business and home owners increase the energy efficiency of properties with no up-front costs. Costs are paid back through the energy bill over a period of time.

- 2.5.6. When an Installer leaves their employment, Members must ensure IDs and any other branded materials related to the role are returned to the Member, and if appropriate, duly destroyed.

## 2.6. Training and Accreditation

It is each Member's responsibility to ensure that;

- 2.6.1. Installers receive appropriate training so they are able to deliver the requirements in the Code section 3 *Installation Visit*;
- 2.6.2. Before being permitted to install Smart Metering Systems, Installers have received training at a level appropriate to the installation (taking into account the knowledge and skills necessary to fulfil the role), including, in the case of installations for Domestic Customers, training and accreditation from a National Skills Academy for Power accredited provider or equivalent training and accreditation. An exception is installations that are for training purposes that are supervised by an appropriately qualified Installer;
- 2.6.3. Installers engaged to undertake gas meter work are appropriately registered with Gas Safe Register;
- 2.6.4. Installers are competent in addressing Customer queries and/or can refer them to an appropriate contact;
- 2.6.5. Installers are trained and competent to provide Energy Efficiency Guidance that is appropriate to the Customer's needs;
- 2.6.6. Installers have a basic knowledge and understanding (appropriate to their role) of data protection and privacy;
- 2.6.7. Their training materials and standards take into account changes in the market and to goods/services, legislation and regulation; and
- 2.6.8. Installers receive training that would enable them to have an understanding of the definition of vulnerability, are able to identify potential cases of vulnerability, and any guidance offered is responsive to the needs of Vulnerable Customers (e.g. Priority Services Register).

## 2.7.Scheduling Visits

It is each Member's responsibility to ensure that;

- 2.7.1.The Customer receives notification prior to the Installation Visit (by whatever method the Member deems most appropriate) that their meter(s) is due to be replaced with a Smart Metering System, and when the Member anticipates this will happen;
- 2.7.2.The Customer is provided with the relevant contact details to arrange an Installation Visit;
- 2.7.3.The Domestic Customer is advised in advance of the Installation Visit that they will not be charged an upfront or one-off charge for the supply and installation of the Smart Metering System<sup>8</sup>;
- 2.7.4.For Micro Business Customers, where there is a charge for the Smart Metering System and installation, the Customer is advised prior to the Installation Visit;
- 2.7.5.Where an Installation Appointment has been agreed with the Customer, the date and time band is confirmed with the Customer, by any appropriate media prior to the Installation Visit;
- 2.7.6.When scheduling an Installation Visit, the Member will accommodate reasonable Customer requirements, e.g. any arising from specific cultural traditions or religious beliefs, the needs of Vulnerable Customers, the needs of Domestic residents at a Micro Business supply point, the needs of Protected Micro Business sites, or any operational business needs of a Micro Business Customer;
- 2.7.7.Where possible, the Customer is notified in advance as to how many Personnel will attend the Installation Visit, if a third party organisation is being used, and the name of the organisation;
- 2.7.8.If the first appointment offered for an Installation Visit is inconvenient, the Customer is made aware of the range of Installation Appointment time bands that the individual Member operates and that are available to the Customer;
- 2.7.9.If the Customer requests to cancel or reschedule an Installation Visit, that is accommodated (in line with existing policies and processes)<sup>9</sup>;

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<sup>8</sup> The customer may be subject to an up-front or one-off charge if, prior to the Installation Visit, he/she (a) expressly requests the installation of equipment that exceeds the minimum requirements of the Smart Metering System technical specification; and (b) enters into a contract for the provision of such equipment.

<sup>9</sup> No charge will be incurred if more than two working days' notice is given. Members must make clear to customers during the pre-installation period any charges that may be applied if the customer cancels or reschedules an Installation Visit.



- 2.7.10. The Customer is informed about their rights in relation to the Installation appointment, where relevant <sup>10</sup>;
- 2.7.11. Where appropriate, the Customer is alerted to the Member's password scheme, for example PSR (Priority Service Register) Customers or other circumstances where it appears appropriate;
- 2.7.12. Their communications regarding the Installation Visit should clearly explain to the Customer what the Installation Visit will entail; the need for the Customer to be at the premises<sup>11</sup>, an indication as to how long a typical Installation Visit takes, that safe access, working conditions, and access to the meter will be required, that the gas and/or electricity supply will be shut off, that the operation of the Smart Metering System will be demonstrated, and that Energy Efficiency Guidance will be offered;
- 2.7.13. Where both fuels are supplied by one company, all reasonable endeavours shall be made to exchange both meters at the same Installation Visit. In instances where this may not be possible, the Member will provide an explanation to the Customer and advise what will happen;
- 2.7.14. At sites where different energy providers supply the electricity and gas, the Member will advise the Customer that the installation of the Smart Metering System may be undertaken on two separate Installation Visits, which meter they are replacing and that the individual Suppliers will make their own contact arrangements;
- 2.7.15. For an Installation Visit that is being scheduled for housing that is known to be sheltered accommodation, approval should be gained from the warden, or other person in authority before making approaches to the residents; and
- 2.7.16. When arranging an appointment for an Installation Visit, all reasonable endeavours will be used (by checking records and through discussion with the Customer), to identify whether the Customer;
- 2.7.16.1. has specific needs –such as the visually impaired, hearing impaired, and those with low levels of literacy;
- 2.7.16.2. Is known to be Vulnerable;

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<sup>10</sup> As set out in the Electricity (Standards of Performance) Regulations 2010, and the Gas (Standards of Performance) Regulations 2005.

<sup>11</sup> Except for situations where work can be carried out without the Customer being present, for example; the replacement of tampered meters or aspects of an Installation Visit carried out in Proactive Install and Leave instances;

2.7.16.2.1. Where it is identified that the Customer is Vulnerable and that has not previously been recorded, it is to be notified to the appropriate Member Personnel to be recorded; and

2.7.16.2.2. Where appropriate, the Installation appointment should be arranged with the carer or the person with legal responsibility over the Customer, and they should be present during the Installation Visit (if required or requested by the Customer).

### 3. INSTALLATION VISIT

For the purposes of this section, the term “Customer” should be read as including a person that has the legal right to represent the Customer, and the relevant regulations listed should not be taken as an exhaustive list.

#### 3.1.Relevant Legislation and Regulation

3.1.1.Gas Act 1986

3.1.2.Electricity Act 1989

3.1.3.Section 3 –HASAWA 1974

3.1.4.Electricity Safety, Quality & Continuity Regulations 2002 (ESQCR)

3.1.5.The Meters (Certification) Regulations 1998

3.1.6.The Electricity at Work Regulations 1989

3.1.7.The Gas Safety (Installation and Use) Regulations 1998

3.1.8.The Electricity (Standards of Performance) Regulations 2010

3.1.9.September 2011 modification of the Standard Conditions of Gas and Electricity Supply Licences (Ofgem’s Spring Package response)

3.1.10.Arrangements for site access Electricity and Gas SLC 13

3.1.11.Effective Switching, via Interoperability of Advanced Domestic Meters; Electricity and Gas SLC 25B

3.1.12.Data Protection Act 1998

3.1.13.Consumer Protection from Unfair Trading Regulations 2008

#### 3.2.Relevant Codes of Practice & Industry Commitments

3.2.1.Meter Operation Code of Practice Agreement (MOCOPA) – Electricity

3.2.2.Meter Asset Manager’s Code of Practice (MAMCoP) – Gas

3.2.3.Ofgem Approved Meter Installers (OAMI)

3.2.4.Safety Net for Vulnerable Customers<sup>12</sup>

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<sup>12</sup> Only applicable to Members of Safety Net for Vulnerable Customers

### 3.3.General Principles

It is each Member's responsibility to ensure that;

- 3.3.1.The Installer maintains a suitable standard of presentation when attending the Customer premises, for example is suitably attired;
- 3.3.2.The Installer is courteous and professional;
- 3.3.3.On attending the Customer premises, the Installer identifies themselves, the Member they represent, and states the purpose of the visit. The Installer will show a valid identity card which clearly displays the Member or Member's third party name, contact phone number, and the Installer's name and photograph;
  - 3.3.3.1.The Customer is able to check the validity of the identity card with the Member;
  - 3.3.3.2.Where the Member operates a password scheme, the Installer will use the password when one has been requested by the Customer;
  - 3.3.3.3.The Installer carries the Gas Safe Registration ID Card when undertaking work on gas Smart Metering System installations. Where the Installer does not have their Gas Safe ID Card, the Customer is able to check the validity of the Gas Safe Registration of that Installer with Gas Safe<sup>13</sup>.
  - 3.3.3.4.On occasions where more than one person attends the Installation Visit, e.g. with a mentor/trainee/auditor, all Personnel are to present a valid identity card and each person's role is clearly explained to the Customer;
- 3.3.4.A site inspection<sup>14</sup> is undertaken before commencing any work at the Installation Visit and the Customer is advised that the inspection will take place;
- 3.3.5.The Customer premises is left in a similar state "as found" as far as is reasonably possible;
- 3.3.6.Ahead of any work starting, if the proposed meter location or configuration is different from existing, the Installer will discuss with the Customer where the meter and communications module can be installed<sup>15</sup>. Work is not to commence without the Customer's agreement;

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<sup>13</sup> *The Installer will provide Gas Safe contact details when requested by the Customer*

<sup>14</sup>MAMCoP section 7.3; Pre-Installation Procedures and MOCO PA™ 1.1.6 Assessment on Site of Risks to Safety

<sup>15</sup>If the Customer requests to have the Smart Metering System installed in a different location, they may incur cost for the work. If the Customer will incur cost for the work, he/she will be made aware of this, and the

- 3.3.7.A record is maintained of which Installer visited the Customer;
- 3.3.8.Processes are maintained for managing abortive or no access Installation Visits, so that the Customer can be made aware that the Installation Visit has failed, the reasons for the failure, what happens next, and what action(s) the Customer can take;
- 3.3.9.No aspect of the Smart Metering System installation is undertaken (at an occupied premises) on occasions when the Customer is not in attendance, except for situations where work can be carried out without the Customer being present, for example; the replacement of tampered meters or aspects of an Installation Visit carried out in Proactive Install and Leave instances;
- 3.3.10.Where meters are to be installed in sheltered housing (where it is known), approval should be gained from the warden, or other person in authority before making approaches to the residents;
- 3.3.11.On occasions where the Customer has requested or requires a carer or other adult who has legal responsibility over them to be present, and they are not, no aspect of the Smart Metering System installation is to be undertaken;
- 3.3.12.Where potential cases of vulnerability are identified during the Installation Visit, they are to be reported to the appropriate Member Personnel;
- 3.3.13.When undertaking an installation for a Micro Business Customer that will impact the supply and the resident present has specific needs or, is identified as Vulnerable, the Member will use all reasonable endeavours to minimise the impact on the resident;
- 3.3.14.Taking account of the circumstances of the installation, the Installer gives the Customer guidance on electrical safety, for example not storing objects too close to the meter ;
- 3.3.15.Taking account of the circumstances of the installation, for gas Smart Metering Systems Installation Visits, the Installer informs the Customer about the dangers of carbon monoxide (CO) and the need to regularly have all gas appliances serviced and checked by a Gas Safe Registered engineer;
- 3.3.16.The Customer is made aware of who to contact after the Installation Visit for further information in relation to the Smart Metering System for support, query resolution, or to provide feedback (verbally or in writing), and non-premium rate helpline numbers are provided; and

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supplier will enter into a contract with the Customer in respect of the activity prior to the Installation Visit. Charging will not occur to recover costs directly associated with a standard installation.

- 3.3.17. The Customer is made aware of any additional sources of help and information, including from independent and impartial sources, help-lines, websites and other appropriate organisations able to offer assistance. This could include any centrally co-ordinated consumer engagement programme (related to smart metering or energy efficiency information, goods and services).

### **3.4. Testing the System**

It is each Member's responsibility to take appropriate steps to ensure the full Smart Metering System is operating correctly, including WAN, HAN and IHD (if provided).

### **3.5. In Home Display (IHD)**

It is each Member's responsibility to ensure that;

- 3.5.1. An IHD is offered at the Installation Visit and if accepted, installed in an appropriate location and set up as far as practicable to meet the needs of the household e.g. tariff and payment type;
- 3.5.2. Instances are recorded where the Customer has opted not to take an IHD, and where provided; and
- 3.5.3. The IHD is suitably located to accommodate the Customer with specific needs, e.g. mobility problems.

A Member is not required to satisfy –

- (i) the requirement in Clause 3.5.1 where it is derogated from the requirement to offer an IHD to the Customer pursuant to and in accordance with an Alternative Display Direction; and
- (ii) the requirement in Clause 3.5.2 where it has provided to the Customer an Alternative Display pursuant to and in accordance with an Alternative Display Direction.

### **3.6. Demonstrating the System to the Customer**

It is each Member's responsibility to ensure that;

- 3.6.1. Use of the Smart Metering System is demonstrated to the Customer in a clear and accurate manner, and is easy to understand, including what information is available from the Smart Metering System, how this can be accessed, and use of the IHD (where provided);

- 3.6.2. Where a Smart Metering System is to be operated in Prepayment mode, the Customer is provided with a demonstration of the Prepayment functions – including, where appropriate, tariff detail, debt screens, releasing emergency credit and re-enabling supply, and guidance (with demonstrations where possible) on getting credit and the topping up process;
- 3.6.3. Instructions in a written or other suitable material format, on how to use the Smart Metering System and IHD (if provided), are left with, or sent to the Customer;
- 3.6.4. When demonstrating the Smart Metering System to a Customer, the demonstration is informed by;
  - 3.6.4.1. Any specific needs – such as the visually impaired, hearing impaired, and those with low levels of literacy;
  - 3.6.4.2. Any known Vulnerability;
- 3.6.5. If the Customer requires or has requested someone to be present at the Installation Visit, for example, if the Customer is known to be Vulnerable or with specific needs, that person is included in the Smart Metering System demonstration; and
- 3.6.6. Any information provided is available in a variety of media and in a format appropriate to or tailored for;
  - 3.6.6.1. Groups with specific needs – such as the visually impaired, hearing impaired, and those with low levels of literacy;
  - 3.6.6.2. Vulnerable Customers.

### **3.7. Provision of Energy Efficiency Guidance**

It is each Member's responsibility to ensure that;

- 3.7.1. Energy Efficiency Guidance is offered to the Domestic Customer at the Installation Visit;
- 3.7.2. Energy Efficiency Guidance is offered to a Micro-Business Customer at a time appropriate to their needs, whether before, during, or after the Installation Visit;
- 3.7.3. The Energy Efficiency Guidance provides the Customer with information and advice about their Smart Metering System and how they can use their Smart Metering System to improve their energy efficiency. The Customer is also directed to additional, impartial sources of information that might, for example, include generic information about the Green Deal programme and the Energy Company Obligation (ECO);
- 3.7.4. Energy Efficiency Guidance offered to the Customer complements any centrally co-ordinated consumer engagement campaign;

3.7.5. Energy Efficiency Guidance and materials are provided in a format that is suitable for the needs of the Customer that;

3.7.5.1. Has specific needs – such as the visually impaired, hearing impaired, and those with low levels of literacy;

3.7.5.2. Is known to be Vulnerable;

3.7.6. Where possible, when giving Energy Efficiency Guidance to a Vulnerable Customer or a Customer with specific needs, appropriate steps are taken to ensure a carer or the person with legal responsibility over the Customer is present (if required or requested by the Customer);

3.7.7. Where the Customer requests energy efficiency information over and above the Energy Efficiency Guidance provided at the Installation Visit, the Customer is given appropriate details of where and how they can obtain tailored or suitable advice; and

3.7.8. Where the Customer requests Energy Efficiency Guidance to be given at a later date, the Member records this and follows it up as appropriate.

### **3.8. Marketing**

For each Member engaging in Marketing activity at the Installation Visit, they must ensure that;

3.8.1. Consent must be obtained from the Customer prior to the Installation Visit (for chargeable goods and services only). Consent can be secured by any appropriate, recordable method that allows a freely given and specific indication of the Customer's wishes, e.g. by telephone, text, in writing, or electronically (web-form or email)<sup>16</sup>;

3.8.2. The Marketing discussion is ended immediately at the Customer's request or if the Customer indicates that it is inconvenient, unwelcome or inappropriate;

3.8.3. When obtaining prior consent from a Domestic Customer to engage in Marketing at the Installation Visit, the Member must specify the type of goods and services that may be discussed during such Marketing;

3.8.4. Marketing is conducted in a fair, transparent, appropriate and professional manner;

3.8.5. The Customer's inexperience, vulnerability, credulity or loyalties are not exploited;

3.8.6. No high pressure tactics are used;

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<sup>16</sup> The Member must also inform the Customer that they are under no obligation to receive Marketing.



- 3.8.7.Details of the goods or services offered are accurately presented and the benefits are not over stated, including any possible constraints on Interoperability;
- 3.8.8.Credible information is provided (drawn from relevant evidence) of performance of energy efficiency goods or services;
- 3.8.9.Marketing support materials do not give false or misleading information;
- 3.8.10.It is explained to the Customer that only the goods and services available from (or through) the Member are being offered, and that others are available; and
- 3.8.11.For a Customer that wants to know more about a Member's propositions, but has not given prior consent for Marketing at the Installation Visit, the Member can;
  - 3.8.11.1. Leave the Customer with written information, so that they can initiate further contact with the Member; and
  - 3.8.11.2.Agree that the Member will contact the Customer at a future date to follow-up the discussion<sup>17</sup>;
- 3.8.12.Referrals should be followed up after a minimum period of two working days (unless the Customer requests earlier action), allowing the Customer time to explore alternatives and compare the prices they are being offered.

### 3.9.Sales

For a Domestic Customer, no Sales transactions are to be concluded at the Installation Visit.

For Members engaging in Sales transactions (Micro Business Customers only) at the Installation Visit, they must ensure that;

- 3.9.1.The key terms and conditions of any agreement or contract are explained, including the Customer's right to cancel the contract and the period within which this can be done without penalty;
- 3.9.2.Sales are conducted in a fair, transparent, appropriate and professional manner;
- 3.9.3.A Customer's inexperience, vulnerability, credulity or loyalties are not exploited;
- 3.9.4.No high pressure tactics are used;

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<sup>17</sup> Members must maintain an auditable record of instances where they have agreed to contact the Customer at a future date to follow up the discussion.

- 3.9.5. The discussion is ended immediately at the Customer's request or if the Customer clearly indicates that contact is inconvenient, unwelcome or inappropriate;
- 3.9.6. It is explained to the Customer that only the goods and services available from (or through) the Member are being offered, and that others are available;
- 3.9.7. Details of the goods or services offered are accurately presented and the benefits are not over stated, including any possible constraints on Interoperability;
- 3.9.8. A credible written estimate is provided (drawn from relevant evidence) of performance of energy efficiency goods or services; and
- 3.9.9. Sales support materials must not give false or misleading information.

### **3.10. Incomplete Installations**

For an installation that cannot be commenced or completed during the Installation Visit, it is each Member's responsibility to ensure that;

- 3.10.1. The Customer is made aware of the reason(s) the installation could not be completed, for example if the site inspection highlighted areas for concern or in Reactive and Proactive Install and Leave instances;
- 3.10.2. The site is left in a safe state before departing; and
- 3.10.3. They have processes in place for:
  - Re-arranging the Installation Visit, if required; and
  - Clearly and accurately communicating to the Customer when the Smart Metering System installation is complete.

## **4. POST INSTALLATION**

The relevant regulations listed should not be taken as an exhaustive list.

### **4.1.Relevant Regulation**

4.1.1.Gas and Electricity (Consumer Complaints Handling Standards) Regulations 2008

### **4.2.Customer Feedback**

It is each Member's responsibility to ensure that;

4.2.1.The Customer has the means available for providing feedback on their experience of the Installation Visit. This could for example, be in the form of an addressed and franked feedback card, via a website, or verbally; and

4.2.2.This information is taken into account for future Installation Visits and, where appropriate, adjustments are made to Member policies and processes.

## 5. FAULT RESOLUTION

### 5.1.Procedures for Handling Faults

It is each Member's responsibility to ensure that;

- 5.1.1.If a fault is identified with the Smart Metering System during the Installation Visit, the Customer is made aware of the problem, what the resolution is likely to be, who will be resolving the fault, and the approximate timescales of the resolution;
- 5.1.2.The Customer is provided with contact details for additional information related to the Smart Metering System fault, for example should they wish to check progress;
- 5.1.3.It is made clear to the Customer that they will not be charged for rectifying the Smart Metering System fault;
- 5.1.4.Information is provided as to who the Customer is to contact if they identify a fault with the Smart Metering System;
- 5.1.5.If the IHD, if provided, is found to be faulty within 12 months of Installation, the IHD is either repaired or replaced<sup>18</sup>; and
- 5.1.6.The Customer is informed about their rights in relation to components of the Smart Metering System that are identified to be faulty<sup>16</sup>.

## 6. COMPLAINT RESOLUTION

The relevant regulations listed should not be taken as an exhaustive list.

### 6.1.Relevant Regulation

- 6.1.1.Gas and Electricity (Consumer Complaints Handling Standards) Regulations 2008<sup>19</sup>
- 6.1.2.Energy Ombudsman Scheme<sup>20</sup>

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<sup>18</sup> The licensee need only do this where in its reasonable opinion it is satisfied that the fault in the IHD or Smart Metering System is not due to a failure by the Domestic Customer to take all reasonable steps to keep the IHD or Smart Metering System in good working order.

<sup>19</sup> <http://www.legislation.gov.uk/>

<sup>20</sup> <http://www.ombudsman-services.org/energy.html>

## **6.2.Procedures for Resolving Complaints<sup>21</sup>**

The Customer should have clarity as to whom to go to if they have queries or problems and where they can get redress. It is each Member's responsibility to ensure that;

- 6.2.1.Complaint handling and redress systems with appropriately trained staff are put in place ahead of the mass rollout of smart meters;
- 6.2.2.The Member that receives any complaint related to the Installation Visit makes all reasonable endeavours to investigate the Customer's concerns and takes appropriate steps to resolve the issue;
- 6.2.3.Suitable operational arrangements are in place with service providers and network operators so complaints are addressed in a timely manner; and
- 6.2.4.Requirements or obligations in relation to the reporting of the nature of complaints regarding the Installation Visit are complied with.

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<sup>21</sup> This section does not remove or replace the Suppliers' obligations under the Gas and Electricity (Consumer Complaints Handling Standards) Regulations 2008.

## APPENDIX 1 –Clauses Not Applicable To Micro Business

The table below shows the clauses within the Code that do not apply to Micro Business Customers.

Clause	Description
<b>2.4.3.2</b>	Suppliers are not required to tailor awareness and communications material for Vulnerability for Micro Business Customers
<b>2.6.8</b>	The Suppliers of Micro Business Customer's do not have licence obligations to cater for Vulnerability. Providing training to Installers on Vulnerability would be on a voluntary basis
<b>2.7.3</b>	A Micro Business Customer can be charged up-front for the Smart Metering System. Should there be a charge incurred, the Member is obliged to inform the Customer up-front (refer clause 2.7.4.)
<b>2.7.16.2</b>	Suppliers of Micro Business Customers do not have licence obligations to identify and report on Vulnerability
<b>2.7.11, 3.3.3.2</b>	There is no obligation to alert Micro Business Customers to the Member's password scheme
<b>3.3.12</b>	When installing a Smart Metering System for a Micro Business Customer, the Installer is expected to take all reasonable endeavours to minimise the impact on the resident at the site if they have specific needs or are identified as Vulnerable (refer clause 3.3.13.)
<b>3.5.1</b>	An IHD does not have to be offered to Micro Business Customers. Where an IHD is provided, clause 3.6.1 would apply
<b>3.6.4.2, 3.6.6.2</b>	When demonstrating a Smart Metering System or providing supporting information to a Micro Business Customer, Suppliers do not have a licence obligation to cater for Vulnerability
<b>3.7.5.2, 3.7.6</b>	Energy Efficiency Guidance only needs to be offered to the Micro Business Customer, not to Vulnerable residents (where identified) at those sites
<b>3.8.1, 3.8.11</b>	Members can conduct Marketing activities without obtaining prior consent from the Micro Business Customer. Members are expected to comply with all other clauses in the Marketing section

## **APPENDIX 2 –Clauses Specific to Vulnerable Customers**

### **Purpose**

This section is a grouping of all the clauses in the Code specific to vulnerability.

### **Glossary of Terms**

“Vulnerable” means a Customer who is classed as Vulnerable according to the following definition –  
‘A Customer is Vulnerable if, for reasons of age, health, disability or severe financial insecurity, they are unable to safeguard their personal welfare or the personal welfare of other members of the household’;

## **2.PRE-INSTALLATION**

### **2.4.Engagement and Customer Awareness**

2.4.3 Are made available to the Customer in a variety of media and in a format appropriate to or tailored for;

2.4.3.1 Groups with specific needs – such as the visually impaired, hearing impaired, and those with low levels of literacy;

2.4.3.2 Vulnerable Customers;

### **2.6.Training and Accreditation**

2.6.8 Installers receive training that would enable them to have an understanding of the definition of vulnerability, are able to identify potential cases of vulnerability, and any guidance offered is responsive to the needs of Vulnerable Customers (e.g. Priority Services Register).

### **2.7.Scheduling Visits**

2.7.6 When scheduling an Installation Visit, the Member will accommodate reasonable Customer requirements, e.g. any arising from specific cultural traditions or religious beliefs, the needs of Vulnerable Customers, the needs of Domestic residents at a Micro Business supply point, the needs of Protected Micro Business sites, or any operational business needs of a Micro Business Customer;

2.7.15 For an Installation Visit that is being scheduled for housing that is known to be sheltered accommodation, approval should be gained from the warden, or other person in authority before making approaches to the residents; and

2.7.16 When arranging an appointment for an Installation Visit, all reasonable endeavours will be used (by checking records and through discussion with the Customer), to identify whether the Customer;

2.7.16.1 has specific needs –such as the visually impaired, hearing impaired, and those with low levels of literacy;

2.7.16.2 Is known to be Vulnerable;

2.7.16.2.1 Where it is identified that the Customer is Vulnerable and that has not previously been recorded, it is to be notified to the appropriate Member Personnel to be recorded; and

2.7.16.2.2 Where appropriate, the Installation appointment should be arranged with the carer or the person with legal responsibility over the Customer, and they should be present during the Installation Visit (if required or requested by the Customer).

## **3.INSTALLATION VISIT**

### **3.3.General Principles**

3.3.10 Where meters are to be installed in sheltered housing (where it is known), approval should be gained from the warden, or other person in authority before making approaches to the residents;

3.3.11 On occasions where the Customer has requested or requires a carer or other adult who has legal responsibility over them to be present, and they are not, no aspect of the Smart Metering System installation is to be undertaken;

3.3.12 Where potential cases of vulnerability are identified during the Installation Visit, they are to be reported to the appropriate Member Personnel;

3.3.13 When undertaking an installation for a Micro Business Customer that will impact the supply and the resident present has specific needs or, is identified as Vulnerable, the Member will use all reasonable endeavours to minimise the impact on the resident;

### **3.5.In Home Display (IHD)**

3.5.3 The IHD is suitably located to accommodate the Customer with specific needs, e.g. mobility problems.



### **3.6.Demonstrating the System to the Customer**

3.6.4 When demonstrating the Smart Metering System to a Customer, the demonstration is informed by;

3.6.4.1 Any specific needs – such as the visually impaired, hearing impaired, and those with low levels of literacy;

3.6.4.2 Any known Vulnerability;

3.6.5 If the Customer requires or has requested someone to be present at the Installation Visit, for example, if the Customer is known to be Vulnerable or with specific needs, that person is included in the Smart Metering System demonstration; and

3.6.6 Any information provided is available in a variety of media and in a format appropriate to or tailored for;

3.6.6.1 Groups with specific needs – such as the visually impaired, hearing impaired, and those with low levels of literacy;

3.6.6.2 Vulnerable Customers.

### **3.7.Provision of Energy Efficiency Guidance**

3.7.5 Energy Efficiency Guidance and materials are provided in a format that is suitable for the needs of the Customer that;

3.7.5.1 Has specific needs – such as the visually impaired, hearing impaired, and those with low levels of literacy;

3.7.5.2 Is known to be Vulnerable;

3.7.6 Where possible, when giving Energy Efficiency Guidance to a Vulnerable Customer or a Customer with specific needs, appropriate steps are taken to ensure a carer or the person with legal responsibility over the Customer is present (if required or requested by the Customer);

# **Section B**

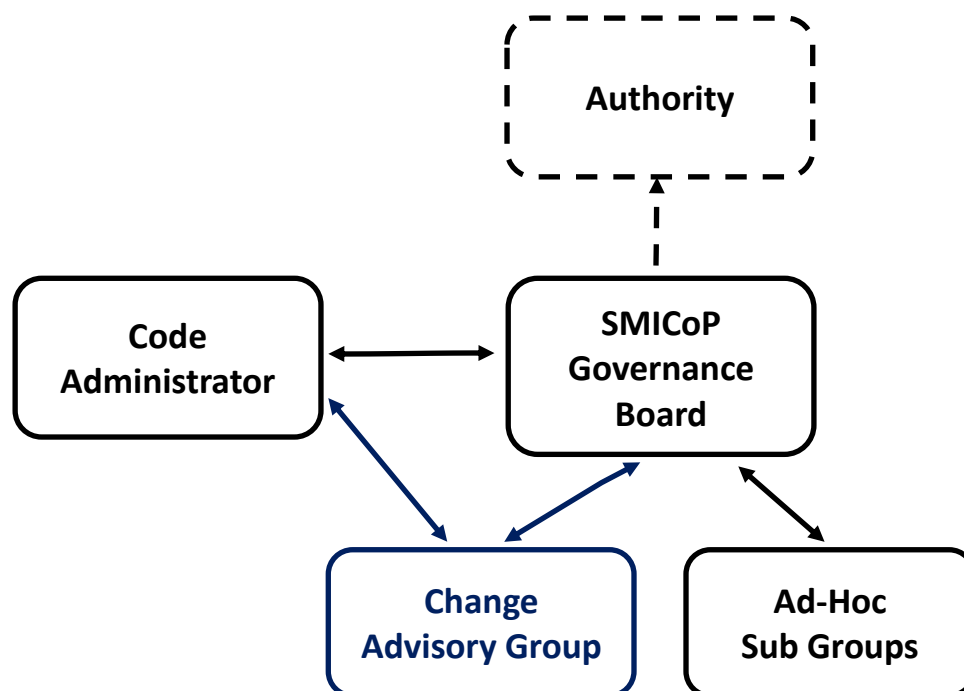
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## **Code Governance**

# 1. ROLES AND RESPONSIBILITIES

## 1.1.Governance Bodies and Structure

1.1.1. There are a number of bodies and groups that are required to operate the Code. These are represented in a structure below and their roles and responsibilities are set out below.



## 1.2.The Authority

1.2.1. Observational/monitoring role (including observation at the SMICoP Governance Board and Sub-Groups as appropriate);

1.2.2. Recipient of reports from the Code change management and monitoring;

1.2.3. Responsible for, on receipt of a recommended code change request, taking one of the following actions within 30 working days:

1.2.3.1. Providing its approval in writing to the proposed revisions; or

1.2.3.2. Providing notice that it is withholding approval; or

1.2.3.3. Providing notice that it is unable to reach a decision on whether to approve or withhold approval within the 30 working day period but that it will aim to do so within the timescale specified in the notice; or

Making no response within 30 working days of receiving a recommended change request in which case the change request will be treated as having been approved by the Authority;

1.2.4. Responsibility for enforcement of the Code outside of these governance arrangements; and

1.2.5. Has the power to direct a review and a subsequent change to the code.

### 1.3. SMICoP Governance Board

1.3.1. The SMICoP Governance Board will:

1.3.1.1. Be responsible for the efficient operation and governance of processes within the Code;

1.3.1.2. Be custodians of the live version of the Code;

1.3.1.3. Approve change requests for submission to the Authority;

1.3.1.4. Own and manage the reporting and monitoring process;

1.3.1.5. Provide overall assurance of robustness of Code;

1.3.1.6. Prioritise and consider issues for resolution; and

1.3.1.7. Agree on the allocation of costs for administration of the Code;

1.3.2. The SMICoP Governance Board will decide to take action as appropriate to discharge its role;

1.3.3. The SMICoP Governance Board should have the appropriate balance of skills, experience, independence and knowledge of the Code to enable them to discharge their respective duties and responsibilities effectively;

1.3.4. The SMICoP Governance Board will be constituted of the following representatives of the following constituents:

- |                                 |                          |
|---------------------------------|--------------------------|
| • Large suppliers               | <b>6 representatives</b> |
| • Small Domestic suppliers      | <b>2 representatives</b> |
| • Micro Business suppliers      | <b>2 representatives</b> |
| • Citizens Advice <sup>22</sup> | <b>2 representatives</b> |

1.3.5. A Licensee can only sit within one constituency;

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<sup>22</sup> Citizens Advice (which throughout the document shall be read as including Citizens Advice Scotland) represents Domestic and Micro-Business Customers.

1.3.6.It will be for the constituents to agree their representatives on the SMICoP Governance Board, including any changes;

1.3.6.1.The SMICoP Governance Board membership will be reviewed periodically;

1.3.6.2.The Code Administrator will run a voting process for constituent representatives if they cannot be otherwise agreed;

1.3.7.The following parties will be invited to send a representative to the SMICoP Governance Board as observers:

- The Authority
- DECC
- Network Operators
- Meter Operators

1.3.8.The Chair can invite relevant observers;

1.3.9.The SMICoP Governance Board is the decision-making body for change to the Code, as described in the Code Change Management process within this document. Change should be agreed by discussion and then consensus wherever possible;

1.3.10.Where consensus cannot be reached, a vote will be taken with 1 vote for each Representative. A decision will be made by an absolute majority, with 7 votes needed to agree a decision, regardless of the number of attendees/proxy votes (e.g. if there are 8 attendees/proxy votes at the SMICoP Governance Board, 7 votes are still required for a decision);

1.3.11.Where a Representative cannot attend a meeting, they shall either send the nominated back-up person, or submit a proxy vote to the Chair. The Chair shall read that vote out in the meeting; and

1.3.12.The SMICoP Governance Board will be quorate with 7 attendees, but in that case and without proxy votes, consensus decisions would be required.

## **1.4.Chair of the SMICoP Governance Board**

1.4.1.The Chair will be an individual provided by the Code Administrator and will facilitate the meetings as a non-voting independent party;

1.4.2.The Chair is responsible for agreeing the SMICoP Governance Board meeting agenda with the Code Administrator and ensuring that the Code Administrator sends all relevant papers to the SMICoP Governance Board in advance of the meeting; and

1.4.3.The Chair will ensure meetings are convened as quorate.

## **1.5.Code Administrator**

- 1.5.1.Must be a suitably experienced and qualified body;
- 1.5.2.Responsible for discharging activities within this Code for change management and monitoring;
- 1.5.3.Secretariat for the SMICoP Governance Board and any sub-groups;
- 1.5.4.Responsible for maintaining documentation and baseline products, including the Code itself;
- 1.5.5.Responsible for publishing outputs from the change management and reporting processes; and
- 1.5.6.Responsible for procurement and contract management of any contracted parties.

## **1.6.Change Advisory Group**

- 1.6.1.As set out in the Code change management process within this Code.

## **1.7.Ad-Hoc Sub-Groups**

- 1.7.1.The SMICoP Governance Board may convene ad-hoc sub-groups to consider issues or deliver tasks should/as they arise;
- 1.7.2.The SMICoP Governance Board will set the Terms of Reference for any sub-groups, which could either be structured to operate in the same manner as the Change Advisory Group, feeding end results into the SMICoP Governance Board to be ratified, or could be more informally convened as a group of experts to feed analysis and recommendations into the SMICoP Governance Board; and
- 1.7.3.The Code Administrator will notify the Change Advisory Group and publish the agendas for any ad-hoc sub-groups that are convened.

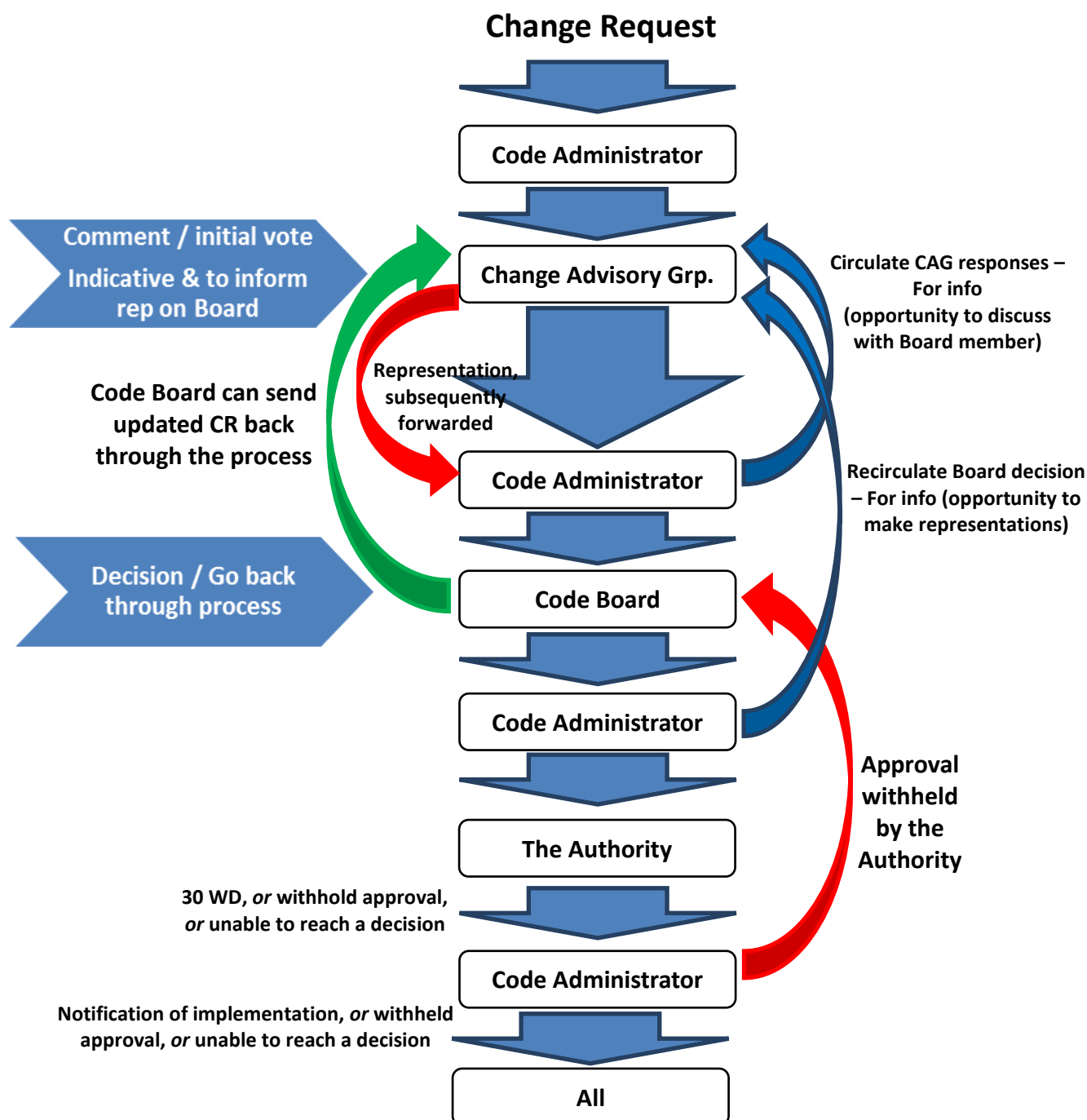
## **1.8.Information to the Authority**

- 1.8.1.All information associated with the Code operation will be made available to the Authority on request.

## 2. CODE CHANGE MANAGEMENT

### 2.1.Change Management Process

2.1.1. Below is a diagrammatic representation of the Code change management process. This change process could be translated into a table to show timings and information exchanges in a similar way to other industry process definitions (e.g. BSCPs and MRA change processes).



## **2.2.Raising Change Requests**

2.2.1.The Code Administrator will maintain a list of parties authorised to raise a change request. Any of these parties may raise a change request to the Code Administrator in a change request Proforma. The Proforma will contain:

2.2.1.1.A description of the issue to be resolved and a description of the Code change proposed (as a solution);

2.2.1.2.The rationale for the change relating to the objectives of the Code licence conditions, including any quantitative or qualitative impact assessment; and

2.2.1.3.A proposed implementation timeframe for the change (e.g. six months from the point of a decision by the Authority to approve a change request) with the rationale for timing (e.g. system changes required).

2.2.2.The authorised parties to raise change requests will be:

2.2.2.1.The licensee or any other licensed electricity or gas supplier of Domestic and Micro Business Customers; and

2.2.2.2.Citizens Advice;

2.2.3.The Code Administrator will facilitate issues being raised, including advice on clarity and completeness, but will have no power to decide whether or not a change should be progressed; and

2.2.4.Once a change request is formally submitted by an authorised party;

2.2.4.1.The Code Administrator will review the change request(s) to ensure a consistency of drafting, language, and format;

2.2.4.2.The Code Administrator will send it on to all relevant parties in the Change Advisory Group for analysis, comment, and an initial vote;

2.2.4.3.The Code Administrator will publish the change request on a web-site (administered by the Code Administrator).

## **2.3.Change Advisory Group Constituents**

2.3.1.The Change Advisory Group is a group of organisations that will have information distributed to it by correspondence with the opportunity to respond in writing to change requests. It is not a standing group that meets to discuss change;

2.3.2.The Change Advisory Group will be constituted of organisations that fit into the following constituents:



- 2.3.2.1.The Licensee and any other licensed electricity or gas supplier of Domestic and/or Micro Business Customers;
- 2.3.2.2.Citizens Advice;
- 2.3.2.3.The Authority;
- 2.3.2.4.Meter Operators;
- 2.3.2.5.Network Operators; and
- 2.3.2.6.Any other recipients of change as may be agreed by the SMICoP Governance Board;
- 2.3.3.All Change Advisory Group correspondence will also be sent to the Authority for information on request; and
- 2.3.4.Organisations wishing to be members of the Change Advisory Group can make a request to join to the Code Administrator or SMICoP Governance Board. The SMICoP Governance Board will agree/reject their addition to the Change Advisory Group, together with any supporting rationale.

## **2.4.Change Advisory Group Assessment & Recommendation**

- 2.4.1.Members of the Change Advisory Group will assess proposed change requests and provide the following to the Code Administrator:
  - 2.4.1.1.Any commentary/views;
  - 2.4.1.2.Any proposed improvements to the definition of the change request;
  - 2.4.1.3.Whether they would recommend to approve the change request or not;
  - 2.4.1.4.Whether they would like their response anonymised or are happy for their response to be attributed to their organisation; and
- 2.4.2.Any recommendations are purely to inform the SMICoP Governance Board of the views of the Change Advisory Group. Recommendations are for guidance only to the SMICoP Governance Board who will make the decision to approve or reject change requests.

## **2.5.Code Administrator Collation of Change Assessments and Reports**

- 2.5.1.The Code Administrator will collate returned change requests and provide a report to the SMICoP Governance Board, copied to the Change Advisory Group for information, including:
  - 2.5.1.1.All anonymised recommendations by constituent group;
  - 2.5.1.2.All attributed recommendations;

2.5.1.3.All comments on the change; and

2.5.1.4.Any proposed improvements to the change.

## **2.6.SMCoP Governance Board Review and Decision**

2.6.1.The change proposer will be entitled to attend the SMCoP Governance Board meeting to propose the change;

2.6.2.The SMCoP Governance Board will assess the information presented in the Code Administrator's report and consider the proposed change, taking into account this information;

2.6.3.If the SMCoP Governance Board or the change proposer considers that there are material issues or improvements to the proposed change, the SMCoP Governance Board or the change proposer may defer making its decision on the change.

2.6.3.1. The change can be:

- a) revised by the change proposer or,
- b) revised by the SMCoP Governance Board and/or,
- c) referred back to the proposer for revision.

2.6.3.2. Where this occurs, the SMCoP Governance Board with the change proposer will agree a revised timetable for the progression of the change, taking into account the circumstances for deferring its decision.

2.6.3.3. Each Change Request can be deferred no more than once.

2.6.3.4. Where a revision to the Change Request is made, the proposer shall determine whether the revised version is progressed as the original or as an alternative to it; and

2.6.4.If the SMCoP Governance Board is satisfied with the content of the change, then they will approve or reject the change request. If approved, they will set an implementation date (informed by responses) for the change. If consensus can be reached, this decision can be made by correspondence or teleconference, without the need for a physical meeting. The SMCoP Governance Board's decision is notified to the Code Administrator.

### **2.6A Withdrawal Process**

2.6A.1. The Change Request withdrawal process will commence if:

a) the change proposer does not re-submit the Change Request in accordance with the timescales set by the SMCoP Governance Board under Clause 2.6.3.2; or

b) the change proposer withdraws the Change Request by giving notice to the Code Administrator.

2.6A.2. In such circumstances, the Code Administrator will notify SMICoP Governance Board and Change Advisory Group that the change proposer has withdrawn the Change Request and that the Change Request is “Closed. – Withdrawn”.

## **2.7.Change Approval/Rejection**

2.7.1.Change requests should be agreed by discussion and then consensus wherever possible, but with a vote to fall back on (as described in the SMICoP Governance Board Roles and Responsibilities within this document);

2.7.2.The SMICoP Governance Board decision to approve or reject a change request is notified by the Code Administrator to the Change Advisory Group and the Authority;

2.7.3.The following constituents in the Change Advisory Group have the opportunity to make representations to the Code Administrator on any approved or rejected change request within 10 working days, together with rationale for representations, accounting for the objectives of supply licence conditions underpinning the code:

2.7.3.1.The Licensee and any other licensed electricity or gas supplier of Domestic and Micro Business Customers; and

2.7.3.2.Citizens Advice.

2.7.4.The Code Administrator will forward, as soon as reasonably practicable, any representations and any rationale provided for information to:

2.7.4.1.the SMICoP Governance Board;

2.7.4.2.the Change Advisory Group; and

2.7.4.3.the Authority on request.

2.7.5.The Authority will give;

2.7.5.1.its approval in writing to the proposed revisions; or

2.7.5.2.Notice to the licensee that it is withholding approval; or

2.7.5.3.Notice to the licensee that it is unable to reach a decision on whether to approve or withhold approval within the 30 working day period but that it will aim to do so within the timescale set out in the Notice,

2.7.6.Should the Authority not respond to any notified change request approved by the SMICoP Governance Board within 30 working days, the proposed change request shall be treated as having been approved; and

2.7.7. The Code Administrator will issue a notice of any Authority response, including any decision to approve or withhold approval for a change request as soon as reasonably practicable. In the absence of a response by the Authority to a change request 30 working days after the submission of the request, the Code Administrator will issue a notice of implementation. The Code Administrator will incorporate any approved change into the Code.

## **2.8. Authority Directed Review or Subsequent Change**

2.8.1. The Authority can direct a review and subsequent change to the Code as set out in supply Licence Conditions below:

*(c) the Authority;*

*(i) at any time to require the Licensee, together with all other licensed electricity and gas suppliers of Domestic Premises, to review such features of the Domestic Installation Code as it may specify ('the specified features');*

*(ii) following such a review, to issue a direction requiring the Licensee and all other licensed electricity and gas suppliers of Domestic Premises to make such modifications to any of the specified features as it may direct.*

## **2.9. Review of the Code**

2.9.1. The SMICoP Governance Board is, from time to time to review the Code to determine whether any revisions should be made to it;

2.9.2. It is expected that where there are revisions needed to the Code, that it will be more efficient to discuss in advance of any formal change request being raised; and

2.9.3. Issues and proposed changes can be raised by any party to the Code Administrator, who will circulate to the Change Advisory Group as defined.

# **3. MONITORING AND COMPLIANCE**

## **3.1. Monitoring and Compliance Techniques**

3.1.1. The following techniques will be used for monitoring and compliance:

3.1.1.1. Self-certification of compliance;

3.1.1.2. Independent audit of compliance; and

3.1.1.3. Customer surveys.

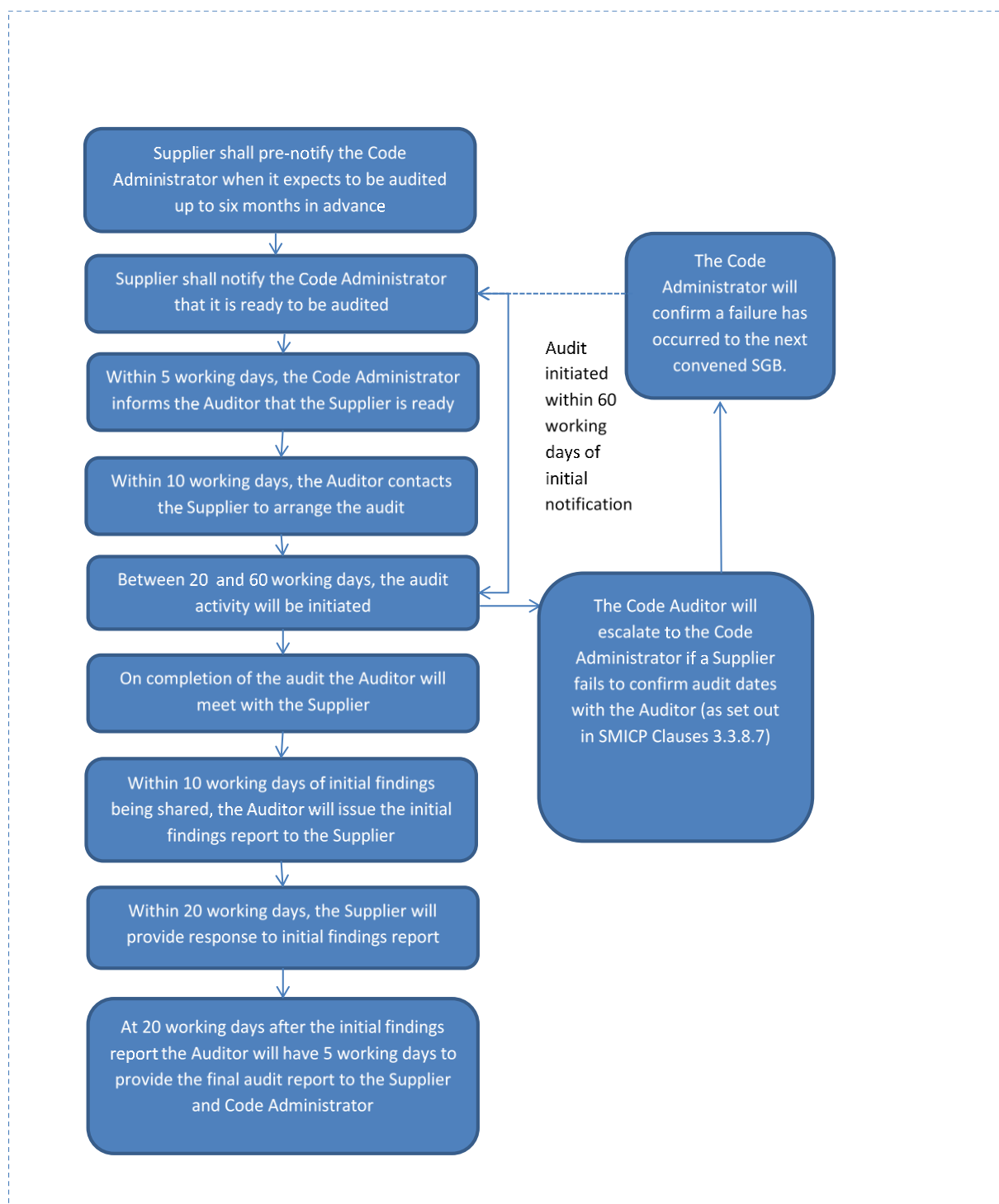
- 3.1.2. Members are responsible for implementing and maintaining suitable management and record-keeping processes to evidence compliance with provisions in the Code that can be provided to the Authority on request.

### **3.2. Self-Certification of Compliance**

- 3.2.1. Self-certification is a statement signed by a board director of the Member stating compliance (at the time of signature) with all relevant clauses of the Code, along with confirmation that there is supporting material evidence of compliance;
- 3.2.2. Self-certification statements, provided in accordance with Section B Appendix 1 including any additional Member statements will be provided to and retained by the Code Administrator;
- 3.2.3. Self-certification will be annual.
- 3.2.3.1 The first self-certification is due prior to a Member starting the Code Section 2 Pre-Installation process for Smart Metering Systems. For subsequent Member self-certification, these Members will comply with the annual timetable as defined in Clause 3.2.5.
- 3.2.4. The first self-certification statement should state that processes are in place for providing the material evidence of compliance for all relevant elements of the Code (post-approval from the Authority); and
- 3.2.5. Subsequent self-certification statements shall state that those processes are working appropriately, in addition to confirming that material evidence is available if requested by the Authority. Each subsequent self-certification statements will be in place by the 1<sup>st</sup> June each year.

### **3.3.Independent Audit of Compliance**

- 3.3.1. A single independent audit will be commissioned on all Members, with over 10,000 electricity and/or gas Domestic and/or Micro Business Customers, to provide assurance that processes and compliance is in place for all relevant aspects of the Code from the time of the last self-certification statement.
- 3.3.2. Any Member that exceeds the 10,000 electricity and/or gas Domestic and/or Micro Business Customers, will require an independent audit.
- 3.3.3. The Code Auditor (an independent auditor), will be procured by SMICoP Ltd and managed by the Code Administrator. The SMICoP Governance Board will make a recommendation on the appointment of the independent body and a final decision on the Audit specification to be used. The SMICoP Ltd Board will make the final decision on appointment of the independent body.
- 3.3.4. Independent audits will be conducted early in the mass roll-out of smart metering. The independent audits may be staggered over time to ensure the workload is manageable for the Code Auditor.
- 3.3.5. Costs for the independent audits will be borne directly by the individual Member's that are being audited.
- 3.3.6. Below is a diagrammatic representation of the audit process, which has been defined in the subsequent clauses.



### 3.3.7.Pre Notification

3.3.7.1.Members shall use reasonable endeavours to send a notification to the Code Administrator up to six months in advance of when the Member expects to be ready to be audited.

### 3.3.8.Audit Initiation

- 3.3.8.1.Members that have a Self-Certification form in place on 1 September 2016 will use all reasonable endeavours to ensure that their audit is completed by February 2017 and will notify the Code Administrator when they are ready to be audited.
- 3.3.8.2.Members that do not have a Self-Certification form in place on 1 September 2016 shall notify the Code Administrator when they are ready to be audited and will use all reasonable endeavours to ensure that their audit is completed within six months of installing 1500 Smart Metering Systems. For the avoidance of doubt, an audit is only required where the Member exceeds the 10,000 electricity and/or gas Domestic and/or Micro Business Customers, in accordance with Clause 3.3.2.
- 3.3.8.3.Within five working days of the notice described in Clause 3.3.8.1 and Clause 3.3.8.2, the Code Administrator shall issue the Code Auditor with an application for audit, containing the Member's contact details, code constituency and a date by which the audit should be carried out. The Code Administrator shall also confirm, to the respective Member, the receipt of the notification and that the application has been forwarded to the Code Auditor, who shall subsequently contact the Member.
- 3.3.8.4. Within ten working days of receipt of an application described in Clause 3.3.8.3, the Code Auditor shall:
  - A. Acknowledge receipt of the application to the Code Administrator;
  - B. Agree the audit dates with the Member, including when the initial findings report will be provided; and
  - C. Confirm an estimate of the applicable charges.
- 3.3.8.5.The audit activities shall commence within 60<sup>23</sup> working days of receipt of the application, unless otherwise agreed with the SMICoP Governance Board.
- 3.3.8.6.The audit activities shall not commence within 20 working days' of initial contact from the Code Auditor, unless otherwise agreed with the Member.
- 3.3.8.7.Where a Member fails to confirm the audit dates with the Code Auditor, within 20 working days of initial contact by the Code Auditor, the Code Auditor will advise the Code Administrator. The Code Administrator will advise this anonymous failure to the next convened SGB.

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<sup>23</sup> The Code Auditor shall highlight to the SMICoP Governance Board instances where the audits are not initiated within 60 working days, together with the rationale for this delay.



### 3.3.9.Audit

3.3.9.1. Members shall ensure appropriate staff are available and be ready to provide demonstrable evidence of compliance with the SMICoP.

### 3.3.10. Audit Completion

3.3.10.1. Following completion of an audit, the Code Auditor will bilaterally meet with the Member to share initial findings. This will include:

- A. Setting out how they have assessed evidence of compliance against each relevant clause of the Code;
- B. Discussing with the Member where non-compliances have been identified;
- C. Discussing with the Member where observations have been identified.

### 3.3.11. Audit Reporting

3.3.11.1. The Code Auditor will develop and agree an audit report format with the SMICoP Governance Board.

3.3.11.2. An initial findings report will be issued to the Member within 10 working days of the initial findings being shared with the Member, as defined in Clause 3.3.10. This report will detail whether the Member is compliant with each relevant clause and if not, its rationale for stating that the Member is not compliant.

3.3.11.3. Members will have no more than 20 working days from the receipt of the initial findings report to provide any response to the Code Auditor. Where non-compliances have been identified, Members responses should detail whether they agree that they are not compliant and if not, provide further evidence / rationale to support their view. Where the Member agrees that it is non-compliant, it should resolve the non-compliance or provide a rectification plan setting out how the non-compliance will be resolved. For the avoidance of doubt, Members' 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 Code Auditor.

3.3.11.4. Within five working days from the end of the Members initial findings response period, detailed within Clause 3.3.11.3, or receipt of a response from the Member, the Code Auditor shall produce a final audit report.

3.3.11.5. For each relevant Clause, the final audit report shall state:

- A. Whether the Member was compliant;
- B. If the Member was compliant, whether any observations were identified in order for the Member to improve its processes; and
- C. If the Member was not compliant, the Member's response to the initial findings report, whether the non-compliance has been rectified or whether a suitable rectification plan has been provided.

3.3.11.6. The final audit report shall be issued to the respective Member and the Code Administrator.

3.3.11.7. Copies of the final audit reports shall be available on request by the Authority.

3.3.11.8. The Code Auditor shall also provide the SMICoP Governance Board with monthly reports, detailing the activity and status of the audit process. All information contained within the report will be anonymised and shall include the below:

- 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.

#### 3.3.12. Corrective Actions

3.3.12.1. Members are responsible for implementing any corrective actions agreed as part of the audit process and arranging for the Code Auditor to carry out an assessment on these corrective actions.

3.3.12.2. Upon receipt of the notification of a Member's corrective actions, the Code Auditor shall agree with the Member the extent of further assessment and determine whether an additional site visit is necessary.

3.3.12.3. The Code Auditor shall agree with the Member:

- A. The length and scope of corrective action assessment;
- B. Key dates;
- C. Terms and contract; and
- D. Estimate of additional charges.

3.3.12.4. On agreement, a corrective action assessment schedule will be developed and provided to the Member and the Code Administrator.

3.3.12.5. The Code Auditor will carry out an assessment against non-compliances identified within the final audit report.

3.3.12.6. The Code Auditor will develop and agree a corrective action assessment report format with the SMICoP Governance Board. On completion of the corrective action assessment, the process defined in Clauses 3.3.10 and 3.3.11 will be followed for the areas of non-compliance.

### **3.4.Customer Surveys**

3.4.1. Customers will be surveyed by a suitably qualified independent Survey Organisation to monitor individual Members' compliance against the Code;

3.4.2. Individual Members will procure their own Survey Organisation and provide Customer data (for all completed installations except for those installations which include the provision (by the Member to the Customer) of an Alternative Display) to the independent Survey Organisation;

3.4.3. The Independent Survey Organisation will sample the data and survey the Customers using the SMICoP Governance Board approved survey specification set out in SMICoP Section C:

3.4.4. The reports will be made available to;

3.4.4.1. the SMICoP Governance Board on an aggregated, anonymised basis, when results are available from at least three participating suppliers (e.g. percentages, rather than finite numbers);

3.4.4.2. individual Members on their Customers' responses<sup>24</sup> to facilitate issue resolution;

3.4.4.3. the Authority and/or the Programme with both of the above reports on request.

3.4.5. The SMICoP Governance Board has set the:

3.4.5.1. Purpose, scope, and methodology;

3.4.5.2. Thresholds, sample size, and frequency;

3.4.5.3. Domestic and Microbusiness Questions to be asked of Customers ;

3.4.5.4. Format of the data and reports.

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<sup>24</sup> This information will only be provided in anonymised form.

## Section B, Appendix 1

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[TO BE PRINTED ON COMPANY'S LETTERHEAD]

The Code Administrator

SMICoP Limited

2 - 3 Golden Square

London

W1F 9HR

### SMICoP Self Certification Statement of Compliance

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I hereby confirm that [ *Insert Company Name* ] is compliant (at the time of signature of this Self Certification) with all relevant clauses<sup>25</sup> of the Smart Metering Installation Code of Practice (the “Code”) and I confirm that there is supporting material evidence of compliance.

[I confirm that processes are in place for providing the material evidence of compliance for all elements of the Code]. [I confirm that the processes that are in place for providing the material evidence of compliance for all elements of the Code are working appropriately and that material evidence of this can be provided if requested by the Authority.]<sup>26</sup>

Company Name: .....

Company Address: .....

.....

Signature (Board Director):.....

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<sup>25</sup> Parties should decide themselves which are the relevant clauses within the SMICoP taking into account the different requirements for Domestic and Micro Business customers and being mindful of the specific clauses relating to Vulnerable customers.

<sup>26</sup> For the initial self-certification Members should use only the first sentence in square brackets and should delete the second sentence. For all subsequent self-certifications Members should delete the first sentence in square brackets and should only use the second sentence in square brackets.

Name (please print): .....

Contact Details: Tel: .....

E-mail: .....

Date of Signature: .....

# **Section C**

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## **Monitoring and Compliance Customer Survey Specification**

## Contents

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## Reporting Timetable

Quarter	Reporting Period	Reporting Submission Deadline	Aggregated Report issued to SGB Members	SGB Meeting where the collated results will be presented
Q1	1 Jan to 31 Mar	Six weeks after the end of the reporting period	Eight weeks after the end of the reporting period	June SGB Meeting
Q2	1 Apr to 30 Jun			September SGB Meeting
Q3	1 Jul to 30 Sep			December SGB Meeting
Q4	1 Oct to 31 Dec			March SGB Meeting

## Attachments

Attachment 1 – Example Domestic Customer Survey Returns Template

Attachment 2 - Example Micro-business Customer Survey Returns Template

## **Part A: Domestic Customer Survey Specification**

### **Purpose**

- 1.1. This specification is designed to establish whether the obligations and standards set out in the SMICoP are being followed by Suppliers (or their appointed agents) during the smart metering installation process. It supplements Suppliers' own compliance monitoring activities which are also specified within the Code.
- 1.2. It is separate from other internal feedback mechanisms established by Suppliers<sup>27</sup>. It is an independent view that is provided to the Authority on request. If non-compliance is identified the findings could be used as a trigger for further investigation or information requests, and / or enforcement action.
- 1.3. It is not intended to evaluate customer satisfaction levels. However, Suppliers can use either a) the same survey or b) a different survey to track customer satisfaction for internal purposes.
- 1.4. This Part A of the Monitoring and Compliance Customer Survey Specification applies to Domestic Smart Installations.

### **2. Roles and Responsibilities**

- 2.1. Suppliers must procure the services of an external market research agency that adheres to the Market Research Society (MRS) Code of Conduct.
- 2.2. Results are to be shared in confidence via the SMICoP Code Administrator, with the Authority and/or the DECC Programme on request, and the Supplier in question.
- 2.3. Survey results will be sent confidentially to the SMICoP Code Administrator in the pre-agreed format (see Attachment 1). The SMICoP Code Administrator will collate the results. Collated

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<sup>27</sup> As set out in SMICoP Section A, 4 Post Installation, 4.2 Customer Feedback



survey results, other than those provided to the Authority and/or the DECC Programme, will be suitably anonymised.

- 2.4. The Authority has the right to request information from Suppliers to support a review of the external market research agency's processes.

### **3. Marketing and Sales**

- 3.1. For each Supplier engaging in marketing activity at the Installation Visit, they must ensure that marketing is conducted in a fair, transparent, appropriate and professional manner. Consent must be obtained from the customer prior to the Installation visit.
- 3.2. The Marketing discussion must be ended immediately at the Customer's request or if the Customer indicates that it is inconvenient, unwelcome or inappropriate;
- 3.3. No Sales transactions are to be conducted at the Installation visit for domestic customers

### **4. Governance**

- 4.1. The following questions will be asked by all Suppliers using a yes/no/don't know/free text response.
- 4.2. It is expected the questions will change over time dependent on outcomes of the survey trials, and future areas of focus within the Code.
- 4.3. Changes to this Research Specification must be agreed by the SMICoP Governance Board (SGB). The SGB will also agree an implementation date for the revised Research Specification taking into account the timescales required by Suppliers to make changes to their systems and processes.

### **5. Survey Questions**

- 5.1. This section contains a list of questions to be asked during the survey. The questions should be asked in the same order and at the same part of the survey.
- 5.2. Additional wording has also been included to ensure that the most appropriate person is answering the survey. This should be included at the relevant stage to set the scene. The form of this wording can be amended so that it is tailored to meet each Suppliers' preference and to take into account whether the survey is being conducted by telephone or online. The survey should be done according to customer preference.
- 5.3. Suppliers should use all reasonable endeavours in communicating with the Customer for whom English is not their first language.
- 5.4. A Demographic question should be asked at the end of the questionnaire, with either a 'prefer not to say' / 'refused' to answer option included. (See Appendix C Below)
- 5.5. References in brackets refer to the SMICoP clause which includes the relevant requirement. These do not need to be included in the survey.

#### Domestic Customers

I would like to ask you some questions about the installation of your SMART Meter...I need to speak to the person who dealt with the [installation engineer] when the meter was installed. Are you the right person or do I need to speak to someone else?"

**Question 1** Before someone came to change your meter, were you told that you were getting a smart meter? (A2.7.1)

**Question 2** Were you offered an [Insert your own Supplier terminology (in home display)] (A3.5.1)

**Consideration Point:** *If the customer requires additional descriptors to aid in understanding what the survey question is referring to the following wording can be used:*

“A [Home Energy Monitor] is a portable device where you can see how much energy you’re using (past and present) and what it costs in pounds and pence.”

OR “The [Smart Energy Display] is a hand held device which communicates with your smart meter and shows the amount and cost of your energy usage”

**Question 3** Did the [installer/technician] provide a demonstration of the equipment installed? (A3.6.1)

**Consideration Point:** *If the customer requires additional descriptors to aid in understanding what the survey question is referring to the following wording can be used:*

“This is both a demonstration of the [home energy monitor] and being shown how to read the meter that was installed.”

**Question 4** Did the [installer/technician] offer advice or information on how to use less energy during the visit? (A3.7.1)

**Consideration Point:** *If the customer requires additional descriptors to aid in understanding what the survey question is referring to the following wording can be used:*

“For example, only boiling the water you need in your kettle, turning down your thermostat to save money, replacing traditional light bulbs with energy saving ones of the same brightness”.

**Question 5** Were you asked to pay for any goods and services before, during or after the installation visit?

**If yes**

- a. Had the [Supplier] asked for your permission to discuss goods and services before the visit?
- b. What goods and services were you asked to pay for?

***Consideration Point:** It was noted that Suppliers need to get consent before discussing goods and services with customers.*

The final question refers to information about yourself:

**Question 6** Do you, or anyone in your household who was present at the installation, have any long term illness, health problem or disability which limits your daily activities or the work you can do?

**If yes:**

- a. Did this person have any additional needs or specific requirements that the installer needed to take into account during the installation?

**If yes:**

- b. Did the installer take into account these additional needs or specific requirements during the installation?

**If no:**

- c. You said that the installer did not take into account the additional needs of specific requirements during the installation. Why do you say this?

## **6. Methodology**

6.1. Interviewing will be conducted via telephone (CATI) and/or online, taking into account customer preference and accessibility to telephone and online surveys.

6.2. Minimum sample size per Supplier is included in Appendix A. Suppliers should ensure that 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 installations carried out by the Supplier in the relevant period.

- 6.3. If a Supplier fails to meet the minimum sample size then the results should still be submitted to the Code Administrator, together with an explanation e.g. low response rate, fewer installations carried out than expected. The Code Administrator will inform the SGB of the size of the sample and the SGB will determine whether there are sufficient results for a robust comparison.
- 6.4. Suppliers will make all reasonable endeavours for the interviews to be completed within 10 days of installation, up to a maximum of 4 weeks.
- 6.5. Interviews will be spread over the quarter and not a snapshot in time.
- 6.6. Suppliers will provide a complete list of completed installations to their chosen agency each week.
- 6.7. The selection of which days and times to interview the customer can be made by the research agency to ensure MRS code of conduct is adhered to.
- 6.8. The selection of jobs to survey will be made by the Supplier's chosen agency.
- 6.9. Suppliers should provide to the Code Administrator a one-off, short (approximately one page) summary of the methodology employed by their survey organisation for the survey. This should be provided alongside the Q2 2016 results or, if results are not submitted in Q2 2016, the first set of results to be submitted. 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 summary of how customers were sampled:
    - How you propose to meet the minimum sample criteria
    - Whether any customers are excluded from the research (e.g. because they have opted out)
    - How differences in communication preference (e.g. online/telephone) were accounted for.
  - Your recruitment process, including;
    - How non-responders are followed up
    - Any incentives offered

- How was your survey administrated:
  - Software used to support online/telephone data collection
  - Introductory or explanatory text used
  - Data privacy notices provided to consumers
  - Were the compliances questions included as part of a wider survey conducted by the suppliers

6.10. The methodology statements will be provided to the Authority and/or the DECC Programme.

## **7. Reporting**

7.1. The surveys are to be carried out on a 12 month period of a calendar year. If a 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.

7.2. The calendar year quarter cycles have been provided in the Reporting Timetable on the Contents Page.

7.3. Reporting frequency is in line with this specification Part A - Appendix A.

7.4. A standardised reporting format will be agreed with the SMICoP Code Board and Suppliers will complete this in line with this specification Part A - Appendix A and send securely to the SMICoP Code Administrator. All Suppliers are to take the surveys and report within agreed prescribed periods.

7.5. Suppliers are to submit a completed report to the SMICoP Code Administrator no later than 6 weeks following the end of each relevant reporting period. This window of submission is to allow Suppliers to conduct surveys for installations that take place up to and including the final working day of any given quarter.

7.6. 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 4 weeks post installation.

7.7. No Supplier will be able to see other Suppliers' results and the SMICoP Code Administrator will manage the data protection.

7.8. When reporting the survey results, Suppliers should also provide the following information from their internal systems:

- Does the customer have a Priority Services Register (PSR) flag (Yes/No)?
- Is the meter mode set to credit/pre-payment?
- Does the customer pay by Direct Debit/other payment method?
- Which Grid Supply Point (GSP) Group is the customer in?

7.9. Where the customer is a gas only customer and the registration data held by the Supplier does not allow the GSP Group to be identified, the GSP Group should be reported as "n/a" in the survey results.

7.10. For additional details on the format that this data should be submitted in see Appendix B 'Reporting File Structure'.

## **8. Complaint Handling**

8.1. All Suppliers will take ownership for managing their own customer's complaints arising from the customer surveys.

## Section C, Part 1 - Appendix A: Domestic Customer Survey Research Specification - Minimum sample size

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### **Domestic Installations**

#### ***Fewer than 5k planned installation-visits per annum***

If a Supplier is planning fewer than 5k installations in the next 12 months, there is no requirement to survey customers for compliance purposes.

#### ***5k-20k planned installation-visits per annum***

If a Supplier is planning between 5k-20k installations in the next 12 months, a total of 500 surveys will need to be completed to cover the 12 month period. Interim results from these surveys could be passed to (or requested by) the Authority, but only the annual results would be used for compliance purposes.

#### ***More than 20k planned installation-visits per annum***

If a Supplier is planning more than 20k installations in the next 12 months, 500 surveys will need to be completed each calendar quarter where 5k and above installations have taken place. Results from these surveys could be passed to (or requested by) the regulator, and used for compliance purposes.



## Section C, Part 1 - Appendix B: Domestic Customer Survey Specification – Reporting File Structure

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### **SMICoP compliance reporting file structure**

The responses to the survey will be submitted using the file structure provided as Attachment 1. 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 included both the survey question and the demographic survey questions. The sample file submitted assumes each survey consists of 6 questions.

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## Section C, Part 1 – Appendix C: Domestic Customer Survey Research Specification – Code Administrator Responsibilities

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### Code Administrator responsibilities

The Code Administrator will:

- receive reports in line with the Appendix A guidance;
- publish a timetable to all Suppliers detailing the dates by which such reports should be submitted and the reporting period to be included in each;
- develop a common reporting format and require reports to be delivered electronically by email;
- store the reports received securely to ensure confidentiality of the data;
- validate the checksum in the trailer record of the file;
- check the file for completeness ensuring all data items are populated and the data format is correct for each;
- check the reporting period start and end dates match those expected and published in the reporting timetable;
- follow up errors or omissions identified in the validation of the report with the submitting Supplier and request for a corrected report to be provided within an agreed timescale;
- immediately after a quarterly scheduled report submission date has passed, check that reports have been received from all relevant suppliers and follow up any missing reports with the supplier(s) concerned; and
- at the next available SGB, present a collated anonymised compliance report of all survey information received in the most recent reporting quarter. The report to the SGB will include the count of survey returns for each Supplier in an anonymised format.

## **Section C, Part 1 - Appendix D: Domestic Customer Survey Research Specification – Demographic Question**

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### **Domestic Customer Survey Demographic Question**

#### **D1. In which of these ways do you occupy this accommodation?**

1. Own it outright/with mortgage
2. Rent from private landlord
3. Rent from social landlord
4. Other
5. Refused

## **Part B: Micro-business Survey Specification**

### **1. Purpose**

- 1.1. This specification is designed to establish whether the obligations and standards set out in the SMICoP are being followed by Suppliers (or their appointed agents) during the smart metering installation process. It supplements Suppliers' own compliance monitoring activities which are also specified within the Code.
- 1.2. It is separate from other internal feedback mechanisms established by Suppliers<sup>28</sup>. It is an independent view that is provided to the Authority on request. If non-compliance is identified the findings could be used as a trigger for further investigation or information requests, and / or enforcement action.
- 1.3. It is not intended to evaluate customer satisfaction levels. However, Suppliers can use either a) the same survey or b) a different survey to track customer satisfaction for internal purposes.
- 1.4. This Part B of the Monitoring and Compliance Customer Survey Specification applies to Micro Business Smart installations.

### **2. Roles and Responsibilities**

- 2.1. Suppliers must procure the services of an external market research agency that adheres to the Market Research Society (MRS) Code of Conduct.
- 2.2. Results are to be shared in confidence via the SMICoP Code Administrator, with the Authority and/or the DECC Programme on request, and the Supplier in question.
- 2.3. Survey results will be sent confidentially to the SMICoP Code Administrator, with the Authority and/or the DECC Programme and the respective Supplier in the pre-agreed format (see Attachment 1). The SMICoP Code Administrator will collate the results. Collated survey results, other than those provided to the Authority and/or the DECC Programme, will be suitably anonymised.

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<sup>28</sup> As set out in SMICoP Section A, 4 Post Installation, 4.2 Customer Feedback

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- 2.4. The Authority has the right to request information from Suppliers to support a review of external market research agency's processes.

### **3. Marketing and Sales**

- 3.1. For each Supplier engaging in marketing activity at the Installation Visit, they must ensure that marketing is conducted in a fair, transparent, appropriate and professional manner. Consent must be obtained from the customer prior to the Installation visit.
- 3.2. The Marketing discussion is ended immediately at the Customer's request or if the Customer indicates that it is inconvenient, unwelcome or inappropriate;
- 3.3. Suppliers engaging in Sales transactions at the Installation visit must ensure that the key terms and conditions of any agreement or contract are explained, including the Customer's right to cancel the contract and the period within which this can be done without penalty.
- 3.4. Sales must be conducted in a fair, transparent, appropriate and professional manner.

### **4. Governance**

- 4.1. The following questions will be asked by all Suppliers using a yes/no/don't know/free text response.
- 4.2. It is expected the questions will change over time dependent on outcomes of the survey trials, and future areas of focus within the Code.
- 4.3. Changes to this Research Specification must be agreed by the SMICoP Governance Board (SGB). The SGB will also agree an implementation date for the revised Research Specification taking into account the timescales required by Suppliers to make changes to their systems and processes.

### **5. Survey Questions**

- 5.1. This section contains a list of questions to be asked during the survey. The questions should be asked in the same order and at the same part of the survey.

- 5.2. Additional wording has also been included to ensure that the most appropriate person is answering the survey. This should be included at the relevant stage to set the scene. The form of this wording can be amended to take into account whether the survey is being conducted by telephone or online. The survey should be done according to customer preference.
- 5.3. Suppliers should use all reasonable endeavours in communicating with the Customer for whom English is not their first language.
- 5.4. Demographic questions should be asked at the end of the questionnaire, with a 'prefer not to say'/'refused' to answer option. (See Appendix C Below)
- 5.5. References in brackets refer to the SMICoP clause which includes the relevant requirement. These do not need to be included in the survey.

#### Micro-business Customers

- 5.6. I would like to ask you some questions about the installation of your Smart meter. As this survey includes questions about the discussions that took place before, during and after the installation visit; could I please speak with the manager, or the most appropriate person to answer these questions?

**Question 1** Before someone came to change your meter, were you told that you were getting a smart meter? (A2.7.1)

**Consideration Point:** *This question is to be addressed to the customer (bill payer)*

**Question 2** Did the [installer/technician] provide a demonstration of the equipment installed? (A3.6.1)

**Consideration Point:** This question is to be addressed to the individual present at the installation.

**Question 3** Did [your Supplier] offer advice or information on how to manage your energy usage?

This advice could have been given before, during or after the visit (A3.7.1)

**Consideration Point:** This question is to be addressed to the individual present at the installation if appropriate.

**Question 4** Was there a charge for installation of the smart meter?(A3.9.1)

**If yes**

- a. Were you made aware of this before the visit took place?

**Consideration Point:** 'Charge' in this question refers to the equipment installed not charges for any remedial work

**Question 5** Did you indicate any specific operational business needs when the installation appointment was being scheduled? (A2.7.6)

**If yes**

- a. Were these needs taken into account during the installation?

**If No**

- b. what were the operation business needs that you identified?

**Consideration Point:** This question is to ensure that were a reasonable request is made Suppliers take this into account

**Question 6** Did the Supplier check whether your premises has any domestic premises associated with it? (A3.3.13)

**Consideration Point:** *This question is to ensure that Suppliers consider the needs of domestic residents at a Micro business premises.*

## 6. Methodology

- 6.1. Interviewing will be conducted via telephone (CATI) and/or online, taking into account customer preference and accessibility to telephone and online surveys.
- 6.2. Minimum sample size per Supplier is included in Appendix A. Suppliers should ensure that 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 installations carried out by the Supplier in the relevant period.
- 6.3. If a Supplier fails to meet the minimum sample size then the results should still be submitted to the Code Administrator, together with an explanation e.g. low response rate, fewer installations carried out than expected. The Code Administrator will inform the SGB of the size of the sample and the SGB will determine whether there are sufficient results for a robust comparison.
- 6.4. Suppliers should provide to the Code Administrator a one-off, short (approximately one page) summary of the methodology employed for their survey. This should be provided alongside the Q2 2016 results or, if results are not submitted in Q2 2016, the first set of results to be submitted. 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 summary of how customers were sampled:
    - How you propose to meet the minimum sample criteria



- 
- Whether any customers are excluded from the research (e.g. because they have opted out)
  - How differences in communication preference (e.g. online/telephone) were accounted for.
  - Your recruitment process, including;
    - How non-responders are followed up
    - Any incentives offered
  - How was your survey administrated:
    - Software used to support online/telephone data collection
    - Introductory or explanatory text used
    - Data privacy notices provided to consumers
    - Were the compliances questions included as part of a wider survey conducted by the suppliers

6.5. The methodology statements will be provided to the Authority and/or the DECC Programme,  
6.6.

6.7. Suppliers will make all reasonable endeavours for the interviews to be completed within 10 days of installation, up to a maximum of 4 weeks.

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

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

6.10. The selection of which days and times to interview the customer can be made by the research agency to ensure MRS code of conduct is adhered to.

6.11. The selection of jobs to survey will be made by the Supplier's chosen agency.

## **7. Reporting**

7.1. The surveys are to be carried out on a 12 month period of a calendar year. If a 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 the quarter they begin to carry out surveys.

7.2. The calendar year quarter cycles have been provided in the Reporting Timetable on the Contents Page.

- 7.3. A standardised reporting format will be agreed with the SMICoP Code Board and Suppliers will complete this within each relevant reporting period and send securely to the SMICoP Code Administrator. All Suppliers are to take the surveys and report within agreed prescribed periods.
- 7.4. Suppliers are to submit a completed report to the SMICoP Code Administrator no later than 6 weeks following the end of each calendar quarter. This window of submission is to allow Suppliers to conduct surveys for installations that take place up to and including the final working day of any given quarter.
- 7.5. 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 4 weeks post installation.
- 7.6. No Supplier will be able to see other Suppliers' results and the SMICoP Code Administrator will manage the data protection.

## **8. Complaint Handling**

- 8.1. All Suppliers will take ownership for managing their own customer's complaints arising from the customer surveys.

## Section C, Part 2 – Appendix A: Micro-business Survey Research Specification - Minimum sample size

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### **Micro Business Installations**

#### ***Fewer than 5k planned installation-visits per annum***

If a Supplier is planning fewer than 5k installations in the next 12 months then reasonable endeavours should be used to gather as many survey returns as possible. Results from these surveys should be submitted on an annual basis. Interim results from these surveys could be passed to (or requested by) the Authority, but only the annual results would be used for compliance purposes.

#### ***More than 5k planned installation-visits per annum***

If a Supplier is planning more than 5k installations in the next 12 months, reasonable endeavours should be taken to carry out 500 surveys each calendar quarter. Regardless of whether the 500 survey target is met, results from these surveys should be submitted on a quarterly basis. Results from these surveys could be passed to (or requested by) the Authority, and used for compliance purposes.

## Section C, Part 2 – Appendix B: Micro-business Survey Research Specification - Reporting File Structure

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### SMICoP compliance reporting file structure

The responses to the survey will be submitted using the file structure provided as Attachment 2. 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 questions.

### Note

The checksum calculation should be the 'No. of surveys completed' value multiplied by the number of questions that is included in a survey. The sample file submitted assumes a survey consisting of 6 questions.

## Section C, Part 2 – Appendix C: Micro-business Survey Research Specification – Code Administrator Responsibilities

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### Code Administrator responsibilities

The Code Administrator will:

- receive reports in line with the Appendix A guidance;
- publish a timetable to all Suppliers detailing the dates by which such reports should be submitted and the reporting period to be included in each;
- develop a common reporting format and require reports to be delivered electronically by email;
- store the reports received securely to ensure confidentiality of the data;
- validate the checksum in the trailer record of the file;
- check the file for completeness ensuring all data items are populated and the data format is correct for each;
- check the reporting period start and end dates match those expected and published in the reporting timetable;
- follow up errors or omissions identified in the validation of the report with the submitting Supplier and request for a corrected report to be provided within an agreed timescale;

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- immediately after a quarterly scheduled report submission date has passed, check that reports have been received from all relevant suppliers and follow up any missing reports with the supplier(s) concerned; and
  - at the next available SGB, present a collated anonymised compliance report of all survey information received in the most recent reporting quarter. The report to the SGB will include the number of survey returns for each Supplier in an anonymised format.
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## **Section C, Part 2 – Appendix D: Micro-business Survey Research Specification – Demographic Questions**

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### **Micro-business Customer Survey Demographic Questions**

All questions have 'don't know' option included, allowing for respondents unaware of wider business...

**1. What is the size of your business (including all sites), in terms of employee numbers?**

**SINGLE CODE**

- Sole trader
- 2-10 employees
- 11-50 employees
- More than 50 employees
- Don't know

**2. Which of the following best describes your type of business premises? SINGLE CODE (To discuss – are the breakdowns of meter relationship required)**

- We are based in a residential house or flat (we have no separate business premises)
- We rent our premises as tenants – and we have no right to change our energy meters, this is solely the landlord's decision
- We rent our premises as tenants – and we have the right to change our energy meters if we choose
- We rent our premises as tenants – but I don't know if we can change our energy meters if we choose
- We are owner occupiers of our premises
- Don't know

**3. From the following list, what is your industry sector? SINGLE CODE (To discuss – is a more detailed SIC classification required for micro-business)**

- Public sector (including health / social work / education)
- Hospitality/accommodation/food service
- Retail
- Administrative (private sector)
- Manufacturing
- Agriculture/forestry/fishing
- Construction
- Transport/storage
- Information and communication
- Financial/insurance/real estate/ professional services
- Arts/entertainment/leisure

- Other business sector
- Don't know