
SCHEDULE XX

Smart Meter Installation Schedule

Version: 0.~~21~~

Effective Date:

N/A

| | |
|--------------------------------|------------------------|
| Domestic Suppliers | Mandatory |
| Non-Domestic Suppliers | Mandatory ¹ |
| Gas Transporters | N/A |
| Distribution Network Operators | N/A |
| DCC | N/A |
| Meter Equipment Managers | N/A |
| Non-Party REC Service Users | N/A |

¹Only in respect of Micro Business Consumers.

Change History

| Version Number | Implementation Date | Reason for Change |
|----------------|---------------------|---|
| 0.1 | N/A | Initial draft for Summer 2020 publication |
| <u>0.2</u> | <u>N/A</u> | <u>Draft for December 2020 consultation</u> |

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~~[For Interpretations Schedule~~

~~**Alternative Display**—means an alternative to an In-Home Display which may be and/or is (as the case may be) provided by the Energy Supplier to the Consumer in accordance with an Alternative Display Direction;~~

~~**Alternative Display Direction**—means a direction given by the Secretary of State to Electricity Suppliers under Condition 40.10 of the Electricity Supply Licences or Condition 34.12 of the Gas Supply Licences (as the case may be);~~

~~**Data Guide** means a guide relating to Smart Meters, to provide a Consumer with information about what data is collected from Smart Meters and what that the information will be used for, and which sets out the rights and choices that apply to the Consumer in relation to smart metering information;~~

~~**Domestic Consumer**—means a Consumer at Domestic Premises.~~

~~**Domestic Consumer Survey Reports**—means the report on Smart Meter Installation Customer Surveys to be published by the Code Manager on the REC Portal.~~

~~**Energy Efficiency Guidance** means provision of information (on behavioural changes, and generic goods, services or building changes) which for (a) a Domestic Consumer is tailored, and (b) for a Micro-Business Consumer is tailored to the extent that it is reasonably possible and practicable to do so in the relevant circumstances, to reflect the circumstances of the case, whether known prior to or observed or learned during the Installation Visit and including the particular attributes of the Consumer's premises and the existing behaviours of the Consumer with regard to the use of electricity and/or gas, that could assist the Consumer in making informed judgements about the way they can improve the efficiency with which they use their electricity and/or gas;~~

~~**Home Area Network**—HAN—means the home area network for communications between devices forming part of a Smart Metering System.~~

~~**In Home Display**—IHD—means an electronic device, linked to a smart meter, which provides information on a Consumer's energy consumption (but excluding an Alternative Display);~~

~~**Installation Appointment**—means a time window agreed with the Consumer for the purpose of installing a Smart Metering System.~~

~~**Installation Visit**—means a visit to a Consumer's property for the purpose of installing, or completing the installation of, a Smart Metering System.~~

~~**Installer**—means any individual authorised by an Energy Supplier who represents that Energy Supplier for the purposes of installing a Smart Metering Systems in the properties of Domestic Consumers and/or Micro-Business Consumers.~~

~~**Interoperability**—means the ability of diverse systems; devices or organisations to work together (interoperate).~~

~~**Marketing**—means any on-site activity by an Energy Supplier in the presence of the Consumer (or any other person at the property) promoting the provision of any goods or services as defined in the Energy Supply~~

Licences. However, the restrictions on Marketing in the Smart Meter Installation Schedule do not prevent the promotion or delivery of goods and services for which there is no direct charge to the Consumer, such as those offered under the Energy Company Obligation (ECO), or other additional products that Suppliers may offer to Vulnerable Consumers, such as carbon monoxide monitors.

~~**Micro Business Consumer**— is a Micro Business Customer, as defined in the Energy Supply Licences.~~

~~**Post Installation**— means the period after the Installation Visit, up to the Consumer receiving the first bill using smart meter data for meters in credit mode, or the first vend for meters in prepayment mode.~~

~~**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, and raising Consumer awareness and engagement in smart metering.~~

~~**Proactive Install and Leave**— means the process of that name set out in the Energy Supply Licences.~~

~~**Reactive Install and Leave**— means the process of that name set out in the Energy Supply Licences.~~

~~**Sales**— means a transaction which involves a Domestic Consumer (or any member of their household) paying a sum of money to any person in respect of the provision of goods or services, or entering into a contract to pay a sum of money to any person in respect of the provision of goods or services.~~

~~**Smart Metering Implementation Programme**— means the Government's programme for delivery of smart metering in Great Britain.~~

~~**Smart Metering System**— has the meaning given to that expression in the Energy Supply Licences.~~

~~**Smart Meter Installation Auditor**— means [].~~

~~**Smart Meter Installation Consumer Survey Specification**— means the specification at Appendix 1 of the Smart Metering Implementation Schedule.~~

~~**Smart Meter Installation Survey Organisation**— means a professional market research agency, independent of the Supplier Member, who adheres to the Market Research Society (MRS) Code of Conduct.~~

~~**Vulnerable**— means a Domestic Consumer who, due to their Personal Characteristics or Circumstance, or otherwise being in a vulnerable situation, may require Priority Services or additional support. In which context, 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 a visual, auditory, literacy or mobility impairment), or severe financial insecurity (such that they are unable to safeguard their personal welfare of the personal welfare of other members of the household).~~

~~**Wide Area Network**— WAN— means the communications network used by the DCC to communicate with Communicatons Hubs.]~~

1 Introduction

- 1.1 This REC Schedule specifies the minimum standards for Energy Suppliers to follow in relation to the Consumer-facing aspects of the installation of Smart Metering Systems. The aim of this REC Schedule is to:
- (a) ensure that the Consumer experience of the Smart Meter installation process is positive;
 - (b) protect Consumers during the process;
 - (c) ensure Consumers are given appropriate assurances over what will take place during the installation process; and
 - (d) deliver Smart Metering Implementation Programme benefits, including long term behavioural changes.
- 1.2 The Code Manager shall develop a standalone version of this REC Schedule, together with a glossary of defined terms and details of relevant legislation and accreditations, and make this publically available on the REC Portal for Energy Suppliers to provide to Consumers where required.
- 1.3 This REC Schedule applies in respect of the installation of Smart Metering Systems, for both electricity and gas, where covered by Condition 41 or 42 of the Electricity Supply Licence or Condition 35 or 36 of the Gas Supply Licence. These Conditions apply to installations at the properties of Domestic Consumers and Micro Business Consumers. The requirements can be applied on a voluntary basis for Smart Metering Systems not installed under licence obligations.
- 1.4 This REC Schedule applies to installations at the properties of both Domestic Consumers and Micro Business Consumers, except where the requirement is explicit that it applies to only one or the other. The requirements concerning Vulnerable Consumers do not apply in respect of Micro Business Consumers; although these may be applied on a voluntary basis.
- 1.5 This REC Schedule describes specific activities in the period running up to an Installation Visit, the installation itself, and the period from the Installation Visit to the Consumer receiving the first bill using smart meter data for meters in credit mode, or the first vend for meters in prepayment mode.
- 1.6 This REC Schedule 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.
- 1.7 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 property, the Energy Supplier shall ensure that appropriate follow up activity is undertaken.
- 1.8 Where an Energy Supplier contracts with a third party for the provision of installation services, the Energy Supplier is responsible for ensuring compliance with all components of this REC Schedule. There is no difference in the standards and requirements applied to contracted third parties and their employees from those applied to an Energy Supplier and its employees.
- 1.9 This REC Schedule should be read in conjunction with the Metering Codes of Practice, which define the technical elements of meter installation.

2 Pre-Installation

- 2.1 Prior to, or during, the Installation Visit, the Energy Supplier shall take all reasonable steps to inform the Consumer (by whatever means deemed appropriate) that the Energy Supplier is bound by this REC Schedule and what this means.
- 2.2 Each Energy Supplier shall ensure that its communication materials regarding Smart Metering System installations and energy efficiency goods and services:
- (a) complement the Consumer-engagement material (if any) provided by the Smart Metering Implementation Programme;
 - (b) are clear, concise and drafted in a way that it is reasonably expected that they will be understood by the Consumer;
 - (c) are made available to the Consumer in a variety of media and in a format appropriate to or tailored for groups with specific needs, such as visual impairment, hearing impairment, low levels of literacy; or other known characteristics of a Vulnerable Consumer;
 - (d) alert the Consumer 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 can use it to improve their energy efficiency, and the availability and range of energy efficiency goods and services available;
 - (e) point the Consumer 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; and
 - (f) are updated regularly and in a timely way.
- 2.3 Each Energy Supplier shall take all reasonable steps to communicate effectively with Consumers for whom English is not their first language.
- 2.4 All interactions with the Consumer in relation to the Installation Visit (verbal or written) must follow the principles as set out in this Paragraph 2.
- 2.5 Each Energy Supplier shall take all reasonable steps to provide the Consumer with a copy of the Data Guide, or to make the Consumer aware of the Data Guide commitments, prior to the Installation Visit.
- 2.6 Each Energy Supplier shall ensure that:
- (a) only suitable individuals are engaged as Installers;
 - (b) qualifications and experience of Installers are validated;
 - (c) all reasonable steps are taken to obtain information about each Installer's previous relevant employment;
 - (d) a 'basic' criminal record (disclosure) check is undertaken, for each new Installer to be recruited, with the public authority that provides such services in respect of the geographical jurisdiction (in Great Britain) in which the Installer is to carry out their role, and the results of this check are appropriately factored in to the recruitment decision; and

- (e) when an Installer leaves the Energy Supplier's service, IDs and any other branded materials related to the role are returned to the Energy Supplier, and if appropriate, duly destroyed.

2.7 Each Energy Supplier shall ensure that:

- (a) Installers receive appropriate training so that they are able to deliver the requirements in Paragraph 3;
- (b) 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 Consumers, training and accreditation from a National Skills Academy for Power accredited provider or equivalent training and accreditation. Installations that are for training purposes must be supervised by an appropriately qualified Installer;
- (c) Installers engaged to undertake gas meter work are appropriately registered with Gas Safe Register;
- (d) Installers are competent in addressing Consumer queries and/or can refer them to an appropriate contact;
- (e) Installers are trained and competent to provide Energy Efficiency Guidance that is appropriate to the Consumer's needs;
- (f) Installers have a basic knowledge and understanding (appropriate to their role) of data protection and privacy;
- (g) the Energy Supplier's training materials and standards take into account changes in the market and to goods/services, legislation and regulation; and
- (h) in the case of installations at Domestic Premises, Installers receive training that would enable them to have an understanding of the definition of Vulnerable Consumer, are able to identify potential cases of Vulnerable Consumers, and any guidance offered is responsive to the needs of Vulnerable Consumers (e.g. Priority Services Register).

Scheduling Visits

2.8 Each Energy Supplier shall ensure that:

- (a) the Consumer receives notification prior to the Installation Visit (by whatever method the Energy Supplier deems most appropriate) that their meter(s) is due to be replaced with a Smart Metering System, and when the Energy Supplier anticipates this will happen;
- (b) the Consumer is provided with the relevant contact details to arrange an Installation Visit;
- (c) the Domestic Consumer 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 System²;
- (d) for Micro Business Consumers, where there is a charge for the Smart Metering System and installation, the Consumer is advised prior to the Installation Visit;

² The Consumer may be subject to an up-front or one-off charge if, prior to the Installation Visit, the Consumer (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.

- (e) where an installation appointment has been agreed with the Consumer, the date and time band is confirmed with the Consumer, by any appropriate media prior to the Installation Visit;
- (f) when scheduling an Installation Visit, the Energy Supplier will accommodate reasonable Consumer requirements (e.g. any arising from specific cultural traditions or religious beliefs, the needs of Vulnerable Consumers, the needs of domestic residents at the property of a Micro Business Consumer, the needs of Micro Business Consumers at protected sites³, or any operational business needs of a Micro Business Consumer);
- (g) where possible, the Consumer is notified in advance as to how many personnel will attend the Installation Visit, and if a third-party organisation is being used, and the name of the organisation;
- (h) if the first appointment offered for an Installation Visit is inconvenient, the Consumer is made aware of the range of installation appointment time bands that the Energy Supplier operates and that are available to the Consumer;
- (i) if the Consumer requests to cancel or reschedule an Installation Visit, that is accommodated (in line with existing policies and processes)⁴;
- (j) the Consumer is informed about their rights in relation to the installation appointment, where relevant⁵;
- (k) where appropriate, the Consumer is alerted to the Energy Supplier's password scheme, for example Consumers on the Priority Services Register or other circumstances where it appears appropriate;
- (l) its communications regarding the Installation Visit should clearly explain to the Consumer what the Installation Visit will entail (including the need for the Consumer to be at the premises⁶, 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);
- (m) where both fuels are supplied by one Energy Supplier (or Energy Suppliers in the same Energy Company Group), all reasonable steps shall be taken to exchange both meters at the same Installation Visit. In instances where this may not be possible, the Energy Supplier will provide an explanation to the Consumer and advise what will happen;
- (n) at sites where different Energy Suppliers (that are not in the same Energy Company Group) supply the electricity and gas, the Energy Supplier will advise the Consumer that the installation of the Smart Metering System may be undertaken on two separate

3 Protected sites are those that are defined as a category A or B gas priority site under the emergency arrangements. They are sites that get left on gas in an emergency as shutting them down would endanger life. This includes hospitals, care homes etc.

4 No charge will be incurred if more than two Working Days' notice is given. The Energy Supplier must make clear to the Consumer during the pre-installation period, any charges that may be applied if the Consumer cancels or reschedules an Installation Visit.

5 This is as may be set out in regulations made by Ofgem under section 33A, 33AA, 33AB, 33D or 47 of the Gas Act 1986 and/or section 39, 39A, 39B, 42A or 60 of the Electricity Act 1989.

6 Except for situations where work can be carried out without the Consumer being present, for example; the replacement of tampered meters or aspects of an Installation Visit carried out in Proactive Install and Leave instances.

Installation Visits, which meter they are replacing and that the individual Energy Suppliers will make their own contact arrangements; and

- (o) 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.

2.9 When arranging an appointment for an Installation Visit, all reasonable endeavours will be used (by checking records and through discussion with the Consumer), to identify whether the Consumer has specific needs, such as visual impairment, hearing impairment, low levels of literacy, or other known characteristics of a Vulnerable Consumer. Where it is identified that the Consumer is a Vulnerable Consumer and that has not previously been recorded, it is to be notified to the appropriate Energy Supplier personnel to be recorded and where appropriate, the installation appointment should be arranged with the carer or the person with legal responsibility over the Consumer, and they should be present during the Installation Visit (if required or requested by the Consumer).

3 Installation Visits

3.1 Each Energy Supplier shall ensure that:

- (a) the Installer maintains a suitable standard of presentation when attending the Consumer premises, for example is suitably attired;
- (b) the Installer is courteous and professional;
- (c) on attending the Consumer premises, the Installer identifies themselves and the Energy Supplier they represent, and states the purpose of the visit. The Installer will show a valid identity card which clearly displays the Energy Supplier's name (or the Energy Supplier's contractor's name), contact phone number, and the Installer's name and photograph;
- (d) the Consumer is able to check the validity of the identity card with the Energy Supplier;
- (e) where the Energy Supplier operates a password scheme, the Installer will use the password when one has been requested by the Consumer;
- (f) 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 Consumer is able to check the validity of the Gas Safe Registration of that Installer with Gas Safe.⁷
- (g) 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 Consumer;
- (h) a site inspection⁸ is undertaken before commencing any work at the Installation Visit and the Consumer is advised that the inspection will take place;
- (i) the Consumer premises is left in a similar state as found as far as is reasonably possible;
- (j) ahead of any work starting, if the proposed meter location or configuration is different from existing, the Installer will discuss with the Consumer where the meter and

⁷ The Installer will provide Gas Safe contact details when requested by the Consumer.

⁸ [MAMCoP section 7.3; Pre-Installation Procedures and MOCOPA™ 1.1.6 Assessment on Site of Risks to Safety.]

communications module can be installed.⁹ Work is not to commence without the Consumer's agreement;

- (k) a record is maintained of which Installer visited the Consumer;
- (l) processes are maintained for managing abortive or no access Installation Visits, so that the Consumer can be made aware that the Installation Visit has failed, the reasons for the failure, what happens next, and what action(s) the Consumer can take;
- (m) no aspect of the Smart Metering System installation is undertaken (at an occupied premises) on occasions when the Consumer is not in attendance, except for situations where work can be carried out without the Consumer being present, for example; the replacement of tampered meters or aspects of an Installation Visit carried out in Proactive Install and Leave instances;
- (n) 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;
- (o) on occasions where the Consumer 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;
- (p) in Domestic Premises, where potential cases of Vulnerable Consumers are identified during the Installation Visit, they are to be reported to the appropriate Energy Supplier personnel;
- (q) when undertaking an installation for a Micro Business Consumer that will impact the supply and the resident present has specific needs or, is identified as a Vulnerable Consumer, the Energy Supplier will take all reasonable steps to minimise the impact on the resident;
- (r) taking account of the circumstances of the installation, the Installer gives the Consumer guidance on electrical safety, for example not storing objects too close to the meter;
- (s) taking account of the circumstances of the installation, for gas Smart Metering System Installation Visits, the Installer informs the Consumer 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;
- (t) the Consumer 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
- (u) the Consumer 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

⁹ If the Consumer requests to have the Smart Metering System installed in a different location, they may incur cost for the work. If the Consumer will incur cost for the work, they will be made aware of this, and the Energy Supplier will enter into a contract with the Consumer in respect of the activity prior to the Installation Visit. Charging will not occur to recover costs directly associated with a standard installation.

consumer engagement programme (related to smart metering or energy efficiency information, goods and services).

Testing the System

- 3.2 The Energy Supplier shall take appropriate steps to ensure the full Smart Metering System is operating correctly, including WAN, HAN and IHD (if provided).

In Home Display (IHD)

- 3.3 In the case of Domestic Consumers, each Energy Supplier shall ensure that an IHD is offered at the Installation Visit and if accepted, installed in an appropriate location, taking into account Consumers with specific needs e.g. mobility issues, and set up as far as practicable to meet the needs of the household e.g. tariff and payment type.
- 3.4 In the case of Domestic Consumers, each Energy Supplier shall record instances where the Consumer has opted not to take an IHD.
- 3.5 An IHD does not have to be offered to Micro Business Consumers. Where an IHD is provided to a Micro Business Consumer, Paragraph 3.8(a) shall apply.
- 3.6 Paragraph 3.3 does not apply where the Energy Supplier is derogated from the requirement to offer an IHD pursuant to and in accordance with an Alternative Display Direction.
- 3.7 Paragraph 3.4 does not apply where the Energy Supplier has provided an Alternative Display in accordance with an Alternative Display Direction.

Demonstrating the System to the Consumer

- 3.8 The Energy Supplier shall ensure that:
- (a) use of the Smart Metering System is demonstrated to the Consumer in a clear and accurate manner, which 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);
 - (b) where a Smart Metering System is to be operated in Prepayment mode, the Consumer is provided with a demonstration of the Prepayment functionality, 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;
 - (c) 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 Consumer;
 - (d) when demonstrating the Smart Metering System to a Consumer, the demonstration is informed by any specific needs such as visual impairment, hearing impairment, low levels of literacy, or other known characteristics of a Vulnerable Consumer;
 - (e) if the Consumer requires or has requested someone to be present at the Installation Visit in accordance with Paragraph 2.9, for example, if the Consumer is known to be a Vulnerable Consumer or has specific needs, that person is included in the Smart Metering System demonstration; and

- (f) any information provided is available in a variety of media and in a format appropriate to or tailored for groups with specific needs such as visual impairment, hearing impairment, low levels of literacy, or other known characteristics of a Vulnerable Consumer.

Provision of Energy Efficiency Guidance

3.9 Each Energy Supplier shall ensure that:

- (a) Energy Efficiency Guidance is offered to the Domestic Consumer at the Installation Visit;
- (b) Energy Efficiency Guidance is offered to a Micro Business Consumer at a time appropriate to their needs, whether before, during, or after the Installation Visit. Energy Efficiency Guidance shall be offered to the Micro Business Consumer, not to Vulnerable residents (where identified) at those sites;
- (c) the Energy Efficiency Guidance provides the Consumer with information and advice about their Smart Metering System and how they can use their Smart Metering System to improve their energy efficiency. The Consumer is also directed to additional, impartial sources of information that might, for example, include generic information about the Energy Company Obligation (ECO);
- (d) Energy Efficiency Guidance offered to the Consumer complements any Consumer engagement campaign co-ordinated by Smart Energy GB;
- (e) Energy Efficiency Guidance and materials are provided in a format that is suitable for the needs of the Consumer that has specific needs such as visual impairment, hearing impairment, low levels of literacy, or other known characteristics of a Vulnerable Consumer;
- (f) where possible, when giving Energy Efficiency Guidance to a Vulnerable Consumer or a Consumer with specific needs, appropriate steps are taken to ensure a carer or the person with legal responsibility over the Consumer is present (if required or requested by the Consumer [in accordance with Paragraph 2.9](#));
- (g) where the Consumer requests energy efficiency information over and above the Energy Efficiency Guidance provided at the Installation Visit, the Consumer is given appropriate details of where and how they can obtain tailored or suitable advice; and
- (h) where the Consumer requests Energy Efficiency Guidance to be given at a later date, the Energy Supplier records this and follows it up as appropriate.

Marketing

3.10 Each Energy Supplier engaging in Marketing activity at the Installation Visit, shall ensure that:

- (a) consent has been obtained from the Domestic Consumer prior to the Installation Visit (for chargeable goods and services only). Energy Suppliers may conduct Marketing to Micro Business Consumers without obtaining prior consent. Consent can be secured by any appropriate, recordable method that allows a freely given and specific indication of the Domestic Consumer's wishes, e.g. by telephone, text, in writing, or electronically (web-form or email)¹⁰;

¹⁰The Energy Supplier must also inform the Consumer that they are under no obligation to receive Marketing.

- (b) the Marketing discussion is ended immediately at the Consumer's request or if the Consumer indicates that it is inconvenient, unwelcome or inappropriate;
- (c) when obtaining prior consent from a Domestic Consumer to engage in Marketing at the Installation Visit, the Energy Supplier must specify the type of goods and services that may be discussed during such Marketing;
- (d) Marketing is conducted in a fair, transparent, appropriate and professional manner;
- (e) the Consumer's inexperience, vulnerability, credulity or loyalties are not exploited;
- (f) no high-pressure tactics are used;
- (g) details of the goods or services offered are accurately presented and the benefits are not over stated, including any possible constraints on Interoperability;
- (h) credible information is provided (drawn from relevant evidence) of performance of energy efficiency goods or services;
- (i) Marketing support materials do not give false or misleading information;
- (j) it is explained to the Consumer that only the goods and services available from (or through) the Energy Supplier are being offered, and that others are available;
- (k) for a Domestic Consumer that wants to know more about a Energy Supplier's propositions, but has not given prior consent for Marketing at the Installation Visit, the Energy Supplier can leave the Consumer with written information, so that they can initiate further contact with the Energy Supplier or agree that the Energy Supplier will contact the Consumer at a future date to follow-up the discussion¹¹; and
- (l) referrals should be followed up after a minimum period of two Working Days (unless the Consumer requests earlier action), allowing the Consumer time to explore alternatives and compare the prices they are being offered.

Sales

- 3.11 For a Domestic Consumer, no Sales transactions are to be concluded at the Installation Visit.
- 3.12 Energy Suppliers engaging in Sales transactions (Micro Business Consumer only) at the Installation Visit, must ensure that:
- (a) the key terms and conditions of any agreement or contract are explained, including the Consumer's right to cancel the contract and the period within which this can be done without penalty;
 - (b) Sales are conducted in a fair, transparent, appropriate and professional manner;
 - (c) a Consumer's inexperience, vulnerability, credulity or loyalties are not exploited;
 - (d) no high-pressure tactics are used;
 - (e) the discussion is ended immediately at the Consumer's request or if the Consumer clearly indicates that contact is inconvenient, unwelcome or inappropriate;

¹¹ Energy Suppliers must maintain an auditable record of instances where they have agreed to contact the Consumer at a future date to follow up the discussion.

- (f) it is explained to the Consumer that only the goods and services available from (or through) the Energy Supplier are being offered, and that others are available;
- (g) details of the goods or services offered are accurately presented and the benefits are not over stated, including any possible constraints on Interoperability;
- (h) a credible written estimate is provided (drawn from relevant evidence) of performance of energy efficiency goods or services; and
- (i) Sales support materials must not give false or misleading information.

Incomplete Installations

3.13 For an installation that cannot be commenced or completed during the Installation Visit, each Energy Supplier shall ensure that:

- (a) the Consumer 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;
- (b) the site is left in a safe state before departing; and
- (c) it has processes in place for re-arranging the Installation Visit, if required and clearly and accurately communicating to the Consumer when the Smart Metering System installation is complete.

4 Post Installation

4.1 Each Energy Supplier shall ensure that:

- (a) the Consumer has the means available for providing feedback on their experience of the Installation Visit (for example, in the form of an addressed and franked feedback card, via a website, or verbally to a representative of the Energy Supplier); and
- (b) this information is taken into account for future Installation Visits and, where appropriate, adjustments are made to Energy Supplier policies and processes.

Fault Resolution

4.2 Each Energy Supplier shall ensure that:

- (a) if a fault is identified with the Smart Metering System during the Installation Visit, the Consumer 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;
- (b) the Consumer is provided with contact details for additional information related to the Smart Metering System fault, for example should they wish to check progress;
- (c) it is made clear to the Consumer that they will not be charged for rectifying the Smart Metering System fault;
- (d) information is provided as to who the Consumer is to contact if they identify a fault with the Smart Metering System;

- (e) if the IHD, if provided, is found to be faulty within 12 months of Installation, the IHD is either repaired or replaced¹²; and
- (f) the Consumer is informed about their rights in relation to components of the Smart Metering System that are identified to be faulty.

Complaint Resolution

- 4.3 The Consumer should have clarity as to whom to go to if they have queries or problems and where they can get redress. Each Energy Supplier shall ensure that:
- (a) complaint handling and redress systems with appropriately trained staff are put in place ahead of the mass rollout of Smart Metering Systems;
 - (b) the Energy Supplier that receives any complaint related to the Installation Visit makes all reasonable endeavours to investigate the Consumer's concerns and takes appropriate steps to resolve the issue;
 - (c) suitable operational arrangements are in place to ensure that complaints are addressed in a timely manner; and
 - (d) requirements or obligations in relation to the reporting of the nature of complaints regarding the Installation Visit are complied with.

5 Independent Audit of Compliance

- 5.1 Unless previously subject to an audit of compliance under the Smart Metering Installation Code of Practice or this Code, each Energy Supplier with over 10,000 electricity and/or gas Consumers who are either Domestic Consumers or Micro Business Consumer shall undergo a compliance audit, to provide assurance that processes are in place to enable compliance with all relevant aspects of this REC Schedule.
- 5.2 RECCo shall contract with one or more service providers for provision of the independent audit of compliance. [RECCo shall ensure that such contract is consistent with the description set out in the Smart Meter Installation Auditor Service Definition.] Where necessary, RECCo shall exercise its rights under the service provider contract to ensure that the contract remains consistent with the requirements of this Code.
- 5.3 Costs for the independent audit of compliance will be borne directly by the individual Energy Supplier being audited.

Pre-Notification

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

Audit Initiation

- 5.5 An Energy Supplier shall notify the Code Manager when it is ready to be audited and shall take all reasonable steps to ensure that its audit is completed within six months of installing 1,500 Smart Metering Systems.

¹² 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 Consumer to take all reasonable steps to keep the IHD or Smart Metering System in good working order.

- 5.6 Within 5 Working Days of the notice described in Paragraph 5.5, the Code Manager shall issue the Smart Meter Installation Auditor with an application for audit, containing the Energy Supplier's contact details, and a date by which the audit is to be carried out. The Code Manager shall also confirm, to the respective Energy Supplier, the receipt of the notification and that the application has been forwarded to the Smart Meter Installation Auditor, who shall subsequently contact the Energy Supplier.
- 5.7 Within 10 Working Days of receipt of an application described in Paragraph 5.6, the Smart Meter Installation Auditor shall:
- (a) acknowledge receipt of the application to the Code Manager;
 - (b) agree the audit dates with the Energy Supplier, including when the initial findings report will be provided; and
 - (c) confirm an estimate of the applicable charges.
- 5.8 The audit activities shall commence within 60 Working Days of receipt of the application, unless otherwise agreed with the Code Manager.
- 5.9 The audit activities shall not commence within 20 Working Days of initial contact from the Smart Meter Installation Auditor, unless otherwise agreed with the Energy Supplier.
- 5.10 Where an Energy Supplier fails to confirm the audit dates with the Smart Meter Installation Auditor, within 20 Working Days of initial contact by the Smart Meter Installation Auditor, the Smart Meter Installation Auditor will advise the Code Manager. The Code Manager will advise the REC Performance Assurance Board of this failure at the next convened meeting.

Audit

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

Audit Completion

- 5.12 Following completion of an audit, the Smart Meter Installation Auditor will bilaterally meet with the Energy Supplier to share initial findings. This will include:
- (a) setting out how they have assessed evidence of compliance against each relevant clause of this REC Schedule;
 - (b) discussing with the Energy Supplier where non-compliances have been identified; and
 - (c) discussing with the Energy Supplier where observations have been identified.

Audit Reporting

- 5.13 An initial findings report will be issued to the Energy Supplier by the Smart Meter Installation Auditor within 10 Working Days of the initial findings being shared with the Energy Supplier, as defined in Paragraph 5.12. This report will detail whether the Energy Supplier is compliant with each relevant requirement and if not, its rationale for stating that the Energy Supplier is not compliant.
- 5.14 The Energy Supplier shall have no more than 20 Working Days from receipt of the initial findings report to provide any response to the Smart Meter Installation Auditor. Where non-compliances have been identified, the Energy Supplier's response should detail whether it agrees that it is not compliant (and if not, provide further evidence / rationale to support its

view). Where the Energy Supplier agrees that it is non-compliant, it shall resolve the non-compliance or provide a rectification plan setting out how the non-compliance will be resolved. The Energy Supplier's comments and proposed rectification plans should be provided within this 20 Working Day period as there will be no further opportunities to provide comments to the Smart Meter Installation Auditor.

- 5.15 Within 5 Working Days from the end of the Energy Supplier's initial findings response period, detailed within Paragraph 5.14, or receipt of a response from the Energy Supplier, the Smart Meter Installation Auditor shall produce a final audit report.
- 5.16 For each relevant requirement in this REC Schedule, the final audit report shall state:
- (a) whether the Energy Supplier was compliant;
 - (b) if the Energy Supplier was compliant, whether any observations were identified in order for the Energy Supplier to improve its processes; and
 - (c) if the Energy Supplier was not compliant, the Energy Supplier's response to the initial findings report, whether the non-compliance has been rectified or whether a suitable rectification plan has been provided.
- 5.17 The final audit report shall be issued to the respective Energy Supplier and the Code Manager.
- 5.18 The Code Manager shall send a copy of each final audit report to the REC Performance Assurance Board within 5 Working Days of receipt (and at the same time to the Authority, until such time as the Authority confirms in writing that it does not require copies of such reports).
- 5.19 The Smart Meter Installation Auditor shall also provide the Code Manager with monthly reports, detailing the activity and status of the audit process. The Code Manager shall provide these reports to the REC Performance Assurance Board for review at its next scheduled meeting.
- 5.20 The information contained within the report to the REC Performance Assurance Board will include:
- (a) number of completed audits during the reporting period;
 - (b) percentage of compliant and non-compliant audit outcomes during the reporting period;
 - (c) number of audits currently ongoing or scheduled;
 - (d) number of outstanding non-compliances; and
 - (e) for non-compliant audits the report will summarise actions taken and progress towards rectification.

Corrective Actions

- 5.21 Each Energy Supplier is responsible for implementing any corrective actions agreed as part of the audit process and arranging for the Smart Meter Installation Auditor to carry out an assessment on these corrective actions.
- 5.22 Upon receipt of the notification of a Energy Supplier's corrective actions, the Smart Meter Installation Auditor shall agree with the Energy Supplier the extent of further assessment and determine whether an additional site visit is necessary.
- 5.23 The Smart Meter Installation Auditor shall agree with the Energy Supplier:

- (a) the length and scope of corrective action assessment;
 - (b) key dates;
 - (c) terms and contract; and
 - (d) estimate of additional charges.
- 5.24 On agreement, a corrective action assessment schedule will be developed and provided to the Energy Supplier and the Code Manager.
- 5.25 The Smart Meter Installation Auditor will carry out an assessment against non-compliances identified within the final audit report.
- 5.26 On completion of the corrective action assessment, the process defined in Paragraphs 5.13 to 5.18 will be followed for the areas of non-compliance.

6 Consumer Surveys

- 6.1 Consumers will be surveyed by a suitably qualified independent Smart Meter Installation Survey Organisation to monitor individual Energy Supplier's compliance against this REC Schedule.
- 6.2 Each Energy Supplier shall procure its own Smart Meter Installation Survey Organisation and provide Consumer data (for all completed installations except for those installations which include the provision, by the Energy Supplier to the Consumer, of an Alternative Display) to the independent Smart Meter Installation Survey Organisation.
- 6.3 The independent Smart Meter Installation Survey Organisation shall sample the data and survey the Consumers using the Smart Meter Installation Consumer Survey Specification (see Appendix 1).
- 6.4 Each Energy Supplier shall ensure that its survey results are made available to:
- (a) the Code Manager;
 - (b) the Energy Supplier's internal resources to facilitate issue resolution; and
 - (c) the Authority and the Smart Metering Implementation Programme (until such time as either or both of them confirm in writing that they do not require copies of the results).
- 6.5 The Code Manager shall provide the results of the Consumer surveys to the REC Performance Assurance Board on an aggregated, anonymised basis. On request by the REC Performance Assurance Board, the Code Manager shall provide unanonymised survey results to the REC Performance Assurance Board.

Publication of Domestic Consumer Survey Reports

- 6.6 The Code Manager shall publish on the REC Portal the results of the first Domestic Consumer Survey Report, setting out survey results from [1 April to 30 June 2021, by the end of September 2021]. Thereafter, reports will be published within 3 months of the end of the calendar quarter to which it relates.
- 6.7 Each Domestic Consumer Survey Report will cover a maximum of 12 months on a rolling basis.
- 6.8 The Domestic Consumer Survey Reports published by the Code Manager shall contain aggregated data across all Energy Suppliers, and shall:

- (a) contain the results reported by each Energy Supplier against survey questions 1, 2, 3, 4, 4a, 4b, 5, 5a, 6a and 6b (see the Smart Meter Installation Consumer Survey Specification) except where the sample size for an individual question is 30 or fewer responses;
- (b) exclude free text comments from Consumer and demographic data;
- (c) provide a descriptive explanatory narrative;
- (d) for Energy Suppliers reporting on a quarterly cycle, contain a time series of data reported in the current and previous three quarters; and
- (e) for Energy Suppliers reporting on an annual cycle, contain the most recent data reported.

7 Escalation Process

7.1 The escalation process set out in this Paragraph 7 will be triggered and followed where:

- (a) an Energy Supplier has failed or is failing to complete such documents or provide such information to the Code Manager as it is required to complete and/or provide under and in accordance with this REC Schedule; or
- (b) an Energy Supplier has failed or is failing to undertake any tasks required to be undertaken by it under this REC Schedule in the manner required by this REC Schedule.

7.2 The Code Manager shall:

- (a) ~~send an email to make contact with~~ the relevant Operational Contact at the Energy Supplier reminding them of the relevant obligation referred to in Paragraph 7.1, explaining that it has not been fulfilled by the Energy Supplier, and inviting them to engage with the Code Manager within 15 Working Days of the communication being sent; and
- (b) where applicable, ~~send with this email, the Code Manager shall provide~~ the documents and/or details of the information that the Energy Supplier should complete and/or send to the Code Manager.

7.3 Where the Energy Supplier fails to engage with the Code Manager within the 15 Working Days referred to in Paragraph 7.2, the Code Manager shall follow up with a call, to the relevant Operational Contact at the Energy Supplier to remind them of the relevant obligation and the steps that the Energy Supplier is advised to take within 10 Working Days of the call.¹³

7.4 Where the Energy Supplier fails to engage with the Code Manager and/or fails to fulfil the relevant obligation within the 10 Working Days referred to in Paragraph 7.3, the Code Manager shall:

- (a) send a letter to the directors of the Energy Supplier reminding them of the relevant obligation, explaining that it has not been fulfilled by the Energy Supplier and inviting them to engage with the Code Manager within 15 Working Days of the letter being sent;
- (b) where applicable, send the documents and/or details of the information that the Energy Supplier should complete and/or send to the Code Manager.

¹³This communication will be made via email where known and if not, then a letter will be sent to the Energy Supplier's registered address. If the call cannot be connected or is not responded to then the process will move to the next escalation step.

- 7.5 The letter referred to in Paragraph 7.4 shall also be copied to the Energy Supplier's Contract Manager and to the Authority.
- 7.6 Where the Energy Supplier fails to engage with the Code Manager and/or fails to fulfil the relevant obligation within the 15 Working Days referred to in Paragraph 7.4, the Code Manager shall:
- (a) at the next scheduled meeting of the REC Performance Assurance Board, notify the REC Performance Assurance Board that the Energy Supplier has failed to engage with the Code Manager and fulfil its relevant obligations; and
 - (b) notify the Energy Supplier's failure to fulfil the relevant obligation to the Authority .
- 7.7 Where requested to do so by the Authority, and from the date specified by the Authority, the REC Performance Assurance Board shall take full responsibility for oversight and assurance of some or all the Energy Supplier obligations set out in this REC Schedule (as specified by the Authority).

Appendix 1: Customer Survey Specification

1 Reporting Timetable

1.1 The following table summarises the reporting timetable for survey results concerning Smart Meter installations:

| Calendar Quarter (CQ) | Relevant Reporting Period | Reporting Submission Deadline | Results issued to REC PAB and Energy Suppliers ¹⁴ | REC PAB Meeting where results will be presented | Publication of Domestic Survey Results ¹⁵ |
|-----------------------|---------------------------|---|--|---|--|
| CQ1 | 1 Jan to 31 Mar | By no later than 20 Working Days after 31 March | By no later than 30 Working Days after 31 March | May REC PAB | By no later than the last Working Day of Jun |
| CQ2 | 1 Apr to 30 Jun | By no later than 20 Working Days after 30 Jun | By no later than 30 Working Days after 30 Jun | Aug REC PAB | By no later than the last Working Day of Sep |
| CQ3 | 1 Jul to 30 Sep | By no later than 20 Working Days after 30 Sep | By no later than 30 Working Days after 30 Sep | Nov REC PAB | By no later than the last Working Day of Dec |
| CQ4 | 1 Oct to 31 Dec | By no later than 20 Working Days after 31 Dec | By no later than 30 Working Days after 31 Dec | Feb REC PAB ¹⁶ | By no later than the last Working Day of Mar ¹⁷ |

¹⁴ The REC Performance Assurance Board will receive anonymised aggregated results for Domestic Consumers and Micro Business Consumers; unless it requests un-anonymised results (anonymised referring to whether or not the identity of the Energy Supplier is disclosed).

¹⁵ The anonymised Domestic Consumer Survey Reports shall be published in accordance with the Smart Meter Installation Schedule.

¹⁶ Meaning the month of February in the calendar year following the calendar year applicable for the relevant reporting period.

¹⁷ Meaning the month of March in the calendar year following the calendar year applicable for the relevant reporting period.

2 Specification Overview

Purpose

- 2.1 This specification is designed to establish whether the obligations and standards set out in the Smart Metering Installation Schedule are being followed by Energy Suppliers (or their appointed agents) during the smart metering installation process. It supplements Energy Suppliers' own compliance monitoring activities.
- 2.2 It is separate from other internal feedback mechanisms established by Energy Suppliers. It is an independent view that is provided to the Smart Metering Implementation Programme and 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.
- 2.3 It is not intended to evaluate Consumer satisfaction levels. However, Energy Suppliers can use either the same or a different survey to track Consumer satisfaction for internal purposes.
- 2.4 The Smart Metering Installation Customer Survey Specification applies in respect of the installation of a Smart Metering System at the properties of Domestic Consumers and Micro Business Consumers.
- 2.5 The Code Manager shall publish the Domestic Consumer Survey Reports on the REC Portal.

Roles and Responsibilities

- 2.6 Each Energy Supplier shall procure the services of an external market research agency that adheres to the Market Research Society (MRS) Code of Conduct.
- 2.7 Each Energy Supplier shall send its survey results to the Code Manager in the pre-agreed format (see the Domestic and Micro Business Customer Survey Templates available on the REC Portal). The Code Manager will collate the results and disseminate and publish them as described in the Smart Metering Installation Schedule.

Survey Questions

- 2.8 Paragraphs 3 and 4 contain a list of questions to be asked during the survey by all Energy Suppliers using a yes/no/don't know/free text response. The questions should be asked in the same order that they appear in this document, with the demographic questions in Appendix D being addressed by all Energy Suppliers using the cross-tabbed response forms provided in the Domestic and Micro Business Customer Survey Templates .
- 2.9 Additional wording has 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 Energy Suppliers' preference and to take into account whether the survey is being conducted by telephone or online. The survey should be carried out according to Consumer preference.
- 2.10 Each Energy Supplier shall take all reasonable steps to engage in communicating with the Consumers for whom English is not their first language, to ensure their responses are captured.
- 2.11 The text in square brackets indicates text which each Energy Supplier shall (acting reasonably) tailor to its specific needs. References in brackets refer to the Paragraph of the Smart Meter Installation Schedule which includes the relevant requirement; and these do not need to be included in the survey.

3 Domestic Consumer

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? (2.8(a))

Question 2 Were you offered an [Insert your own Energy Supplier terminology (in home display)] (3.33.7)

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? (3.8(a))

Question 4 Did the [installer/technician] offer advice or information on how to use less [Insert your own Energy Supplier terminology for energy i.e. electricity and gas consumption] during the visit [Insert your own Energy Supplier terminology on how this advice may have been imparted, or the specific terminology or language used, if appropriate]? (3.9(a))

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."

If yes:

a) If the [installer/technician] did offer advice or information, did you take up the offer?

If yes:

b) Did the advice or information given take into account your home and/or how you use [insert your own Energy Supplier terminology for energy i.e. electricity and gas consumption]?

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 [Energy 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 Energy 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/technician needed to take into account during the installation?

If yes:

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

If no:

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

4 Micro Business Consumers

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? (2.8(a))

Consideration Point: This question is to be addressed to the Consumer (bill payer).

Question 2 Did the [installer/technician] provide a demonstration of the equipment installed? (3.8(a))

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

Question 3 Did [your Energy Supplier] offer advice or information on how to manage your [Insert your own Energy Supplier terminology for energy i.e. electricity and gas consumption] usage [Insert your own Supplier terminology on how this advice may have been imparted, or the specific terminology or language used, if appropriate]?

This advice could have been given before, during or after the visit (3.9(a))

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? (2.8(d))

(a) **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? (2.8(f))

(b) **If yes:**

a) Were these needs taken into account during the installation?

(c) **If no:**

b) what were the operation business needs that you identified?

Question 6 Did the Energy Supplier check whether your premises has any domestic premises associated with it? (3.1(q))

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

5 Methodology

- 5.1 Interviewing will be conducted via telephone (Computer Assisted Telephone Interviewing (CATI)) and/or online, taking into account Consumer preference and accessibility to telephone and online surveys.
- 5.2 Minimum sample size per Energy Supplier is included in Appendix A. Energy 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 Energy Supplier in the relevant period.
- 5.3 If an Energy Supplier fails to meet the minimum sample size then the results should still be submitted to the Code Manager, together with an explanation e.g. low response rate, fewer installations carried out than expected. The Code Manager will inform the REC PAB of the size of the sample and the REC PAB will determine whether there are sufficient results for a robust comparison.
- 5.4 Each Energy Supplier shall take all reasonable steps to ensure that the interviews are completed within 10 Working Days of Installation, up to a maximum of 15 Working Days after Installation.
- 5.5 Interviews will be spread over the quarter and not a snapshot in time.
- 5.6 Energy Suppliers will provide a complete list of completed installations to their chosen agency each week.
- 5.7 The selection of which days and times to interview the Consumer can be made by the research agency to ensure MRS Code of Conduct is adhered to.
- 5.8 The selection of jobs to survey will be made by the Energy Supplier's chosen agency.
- 5.9 Each Energy Supplier shall provide to the Code Manager a one-off, short (approximately one page) summary of the methodology employed by the Energy Supplier's survey organisation for the survey. This shall be provided alongside the first set of results to be submitted under this Code, unless previously submitted under the Smart Metering Installation Code. This methodology summary need only be submitted once, unless there is a substantive change to the methodology used, in which case, an updated methodology summary should be submitted. The summary should include:
 - a. a summary of how Consumers were sampled:
 - o how the Energy Supplier proposes to meet the minimum sample criteria;
 - o whether any Consumers are excluded from the research (e.g. because they have opted out);

- how differences in communication preference (e.g. online/telephone) were accounted for;
- b. the Energy Supplier's survey recruitment process, including:
 - how non-responders are followed up; and
 - any incentives offered; and
- c. how the survey was administrated, including:
 - software used to support online/telephone data collection;
 - introductory or explanatory text used;
 - data privacy notices provided to Consumers; and
 - whether the compliance questions included as part of a wider survey conducted by the Energy Supplier.

5.10 The methodology statements will be provided by the Code Manager on request to the Authority and/or the Smart Metering Implementation Programme.

6 Reporting

6.1 The surveys are to be carried out on a 12-month period of a calendar year. If an Energy Supplier starts their survey during the year, then they will be required to provide results on a pro-rata basis for that calendar year beginning in the quarter that they begin to carry out surveys.

6.2 The calendar year quarter cycles have been provided in the reporting timetable in Paragraph 1.

6.3 Reporting frequency is in line with this specification.

6.4 A standardised reporting format will be provided to Energy Suppliers by the Code Manager, and Energy Suppliers will send data securely to the Code Manager via the REC Portal. All Energy Suppliers are to take the surveys and report within agreed prescribed periods.

6.5 Energy Suppliers are to submit a completed report to the Code Manager in line with the reporting timetable following the end of each relevant reporting period. This window of submission is to allow Energy Suppliers to conduct surveys for installations that take place up to and including the final working day of any given quarter.

6.6 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 15 Working Days post installation.

6.7 No Energy Supplier will be entitled to see other Energy Suppliers' results. The Code Manager shall keep them confidential and not disclose an Energy Supplier's report to any other Energy Supplier until such time as the Domestic Consumer Survey Report is published.

6.8 When reporting the Domestic Consumer Survey results, Energy Suppliers should also provide the following information from their internal systems to address the demographic questions:

- a. Does the Consumer have a Priority Services Register (PSR) flag (Yes/No)?
- b. Is the meter mode set to credit/pre-payment?

- c. Does the Consumer pay by Direct Debit/other payment method?
- d. In which Grid Supply Point (GSP) Group is the Consumer?

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

6.10 For additional details on the format in which this data is to be submitted, see Appendix B 'Reporting File Structure'.

6.11 Energy Suppliers shall ensure that they do not provide the Code Manager with the personal data of any individual within the free text response.

7 Complaint Handling

7.1 All Energy Suppliers will take ownership for managing their own Consumer's complaints arising from the Consumer surveys.

Appendix A: Minimum Sample Size

Installations at Domestic Premises

Fewer than 5k planned installation-visits per annum

If an Energy Supplier is planning fewer than 5k installations in respect of Domestic Premises in the next 12 months, there is no requirement to survey Consumer for compliance purposes.

5k-20k planned installation-visits per annum

If an Energy Supplier is planning between 5k-20k installations in respect of Domestic Premises 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 an Energy Supplier is planning more than 20k installations in respect of Domestic Premises 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.

Installations at premises of Micro Business Consumer

Fewer than 5k planned installation-visits per annum

If an Energy Supplier is planning fewer than 5k installations in respect of premises of Micro Business Consumer 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 an Energy Supplier is planning more than 5k installations in respect of premises of Micro Business Consumers 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.

Appendix B: Reporting File Structure

SMI compliance reporting file structure

The responses to the survey will be submitted in the format described via the REC Portal using the file structure provided in the Domestic and Micro Business Customer Survey Templates. Within this file the checksum is the total of the No. of 'Y', 'N', 'Don't Know' and free text answers from within the survey summary report details.

This file format will be used for all questions, the first questions asked will be the meter installation questions and the next questions asked will be the demographic question.

Note

The checksum calculation should be the 'No. of surveys completed' value multiplied by the number of questions that is included in a survey. This includes both the survey question and sub-questions and should exclude the demographic survey questions.

Appendix C: Code Manager Responsibilities

The Code Manager shall:

- a. publish a timetable to all Energy Suppliers detailing the dates by which such reports should be submitted and the reporting period to be included in each;
- b. develop a common reporting format and require reports to be delivered via the REC Portal;
- c. store the reports received securely to ensure confidentiality of the data;
- d. validate the checksum in the trailer record of the file;
- e. check the file for completeness ensuring all data items are populated and the data format is correct for each;
- f. check the reporting period start and end dates match those expected and published in the reporting timetable;
- g. 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;
- h. 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;
- i. at the next available REC PAB meeting, present a collated anonymised compliance report of all survey information received in the most recent reporting quarter. The report to the REC PAB will include the count of survey returns for each Energy Supplier in an anonymised format; and
- j. publish the Domestic Consumer Survey Reports on the REC Portal.

Appendix D: Demographic Questions

Domestic Consumer 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

Micro business Consumer Survey Demographic Questions

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

D1. What is the size of your business (including all sites), in terms of employee numbers?

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

D2. Which of the following best describes your type of business premises?

- 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

D3. From the following list, what is your industry sector?

- 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