

# Guidelines for Metering Equipment Provider Audits

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Version 2.2

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## Version control

Version	Date amended	Comments
1.0	12 March 2013	Draft for consultation.
1.1	21 May 2013	Incorporated consultation feedback
1.2	26 July 2013	Finalised following legal review
1.3	19 June 2014	Updated to standardise with other audit guidelines and incorporate minor code amendments (Electricity Industry Participation (Minor Amendments) Code Amendment 2014
2.0	28 February 2017	Updated to reflect new audit regime for 1 June 2017
2.1	16 May 2017	Final version for new audit regime 1 June 2017
2.2	5 October 2017	Updated for changes to the Code made under the Code Review Programme 2017

## Glossary of abbreviations and terms

<b>Approved test house</b>	Approved test house – a testing and calibration facility
<b>ATH</b>	A participant that operates an approved test house
<b>Authority</b>	Electricity Authority
<b>Code</b>	Electricity Industry Participation Code 2010
<b>GXP</b>	Grid exit point
<b>HHR</b>	Half hour
<b>ICP</b>	Installation control point
<b>MEP</b>	Metering equipment provider
<b>NSP</b>	Network supply point
<b>POC</b>	Point of connection

## Executive summary

The Electricity Authority (Authority) provides this guideline to promote a better understanding of, and to encourage consistency in, the methodology and processes surrounding metering equipment provider audits. This guideline is intended to provide a structured approach to audits for auditors and participants that is fair and consistent. It outlines metering equipment providers' Electricity Industry Participation Code 2010 (Code) obligations, and auditors' requirements when carrying out metering equipment provider audits.

This guideline describes what metering equipment providers and auditors should do when carrying out audits under the Code, and the obligations of metering equipment providers under the Code that they must be audited against. However, the information in this guideline does not replace the requirement for participants to know and comply with their obligations under the Code. This guideline reflects the Authority's view of best practice.

The information in this guideline is not necessarily definitive of the obligations of metering equipment providers and auditors under the Code, and the responsibilities of auditors when undertaking an audit. It should not be used instead of legal advice. If there is any inconsistency between this information and the Code, the Code takes precedence.

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# 1 Introduction

- 1.1 A metering equipment provider (MEP) must arrange for regular audits in respect of its obligations under Parts 10 and 11, and the relevant provisions of Part 15 of the Code.
- 1.2 An MEP is defined in section 5 of the Electricity Industry Act 2010 as a person who, in accordance with the Code:
- (a) assumes responsibility for any metering installation; or
  - (b) is appointed to be responsible for any metering installation.
- 1.3 Accordingly, the participant responsible for the compliance of a category 1 or higher metering installation at a point of connection (POC) is the MEP.

# 2 Audit requirements

- 2.1 The MEP must ensure that the following processes and procedures are audited:<sup>1</sup>
- (a) The management and maintenance of each metering installation for which the MEP is responsible. This includes the maintenance of metering records, metering components, certification, inspections and investigations.
  - (b) Provision of metering records to the registry and reconciliation manager.
  - (c) Provision of access under Part 10 to raw meter data, metering records, and the metering installation.
  - (d) The security of each meter installation, back office system and communication between the metering installation and back office system that the MEP is responsible for.
- 2.2 The MEP must arrange for MEP audits in accordance with Part 16A including:
- (a) An initial audit no later than three months after the date on which the MEPs obligations under Part 10 commence in accordance with clause 10.19.
  - (b) Further audits as specified by the Authority under clause 16A.14. The Authority will determine the date of an audit which will be no earlier than 3 months after the Authority advised the MEP or not later than 36 months after the date of the last audit.
  - (c) If there is a material change to a MEP's systems or processes such that an audit is required under clause 16A.11. A material change is a change to a system or process that is likely to affect the ability of the participant to comply with any relevant obligation required under the Code.
- 2.3 Additionally, the Authority may at any time decide to carry out an audit in respect of a MEPs obligations under the Code.<sup>2</sup> The Authority may also carry out such an audit at the request of another participant.
- 2.4 Clause 16A.3 requires each MEP to ensure its audit is conducted by an Authority approved auditor.

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<sup>1</sup> Clause 16A.18

<sup>2</sup> Clause 10.17B

- 2.5 MEPs are required to give the Authority or an auditor full access to all information that may be required for the purposes of the audit, at no charge and no later than 15 business days after receiving a request for the information.<sup>3</sup>
- 2.6 An auditor must carry out the audit of an MEP's compliance with the relative parts of the Code within a period specified by the Authority. This period must be no earlier than three months, but no more than 36 months, after the completion date of the audit report for the MEP's previous audit.
- 2.7 The matters that must be covered by an audit of an MEP can be grouped into certain functions which include, but are not limited to the following:
- (a) **Function 1:** Administrative tasks - Obligations regarding arranging for and submitting applications for approval
  - (b) **Function 2:** Operational infrastructure - Obligations regarding requirements, such as tools, transmission, accuracy and security
  - (c) **Function 3:** Process for the change of a MEP – Obligations regarding taking responsibility for a metering installation at the request of another MEP. MEPs have obligations to meet in regards to updating the registry in the timeframes specified in the Code.
  - (d) **Function 4:** Installation and modification of metering installations – The MEP's obligations for the design of metering installations, this includes the obtaining a design report as well as ensuring the installation is appropriate and certified.
  - (e) **Function 5:** Metering records – Obligations to maintain and keep accurate and complete metering records.
  - (f) **Function 6:** Maintenance of registry information – Obligations regarding the population and maintaining of metering records in the registry within the specified timeframes in the Code.
  - (g) **Function 7:** Certification of metering installations – Obligations regarding the certification and recertification of metering installations.
  - (h) **Function 8:** Inspection of metering installations – the MEP's obligation to ensure metering installations are inspected by an ATH to confirm the installation continues to meet certification requirements.
  - (i) **Function 9:** Process for handling faulty metering installations – Obligation for MEP to investigate and report faulty metering installations that are inaccurate, defective or not fit for purpose.
  - (j) **Function 10:** Access to and provision of raw meter data and metering installations through arrangements with the reconciliation participant.
- 2.8 The audit requirements for each of the above functions are described in detail in the Appendices by reference to the relevant Code provisions.
- 2.9 The list of Authority-approved auditors is available on the Authority's website at <https://www.ea.govt.nz/dmsdocument/6129>.
- 2.10 The participant audit regime uses a risk-based approach to planning audits. The following three documents are integral to this approach:

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<sup>3</sup> Clause 16A.4

(i) *Risk and materiality guideline*

This sets out how to assess risk, the process for applying risk to focus audit effort, and how to assess the materiality and likelihood of a risk.

(ii) *Auditor protocol*

This sets out audit standards and the Authority's expectations of auditors when performing audits.

(iii) *Inherent risk register*

This sets out the risks inherent in a participant's functions and processes that are audited. The auditor uses these inherent risks as a starting point for determining an audited participant's residual risk. Residual risk is used by the auditors to determine audit priority and effort.

2.11 The *Risk and materiality guidelines*, *Auditor protocol* and *Inherent risk registers* are available on the Authority's website at: <https://www.ea.govt.nz/operations/retail/audits-approvals-and-certification/>.

2.12 Where an MEP is required to carry out an audit for one or more of the roles that it is responsible for as an industry participant, the MEP must arrange for a separate audit report to be completed in respect of its obligations for each of those roles.<sup>4</sup> The requirement for a separate audit would be, for example, where that participant is responsible as a reconciliation participant that is also responsible for metering installations.

2.13 If an MEP uses an agent to perform any of its obligations under the Code, the MEP must ensure that the agent has been audited in accordance with the requirements of the Code.<sup>5</sup> An agent's audit must also fit within the required time frames stipulated for audits under Part 16A. MEPs are responsible and liable for their agents' and contractors' compliance and obligations under the Code.<sup>6</sup>

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<sup>4</sup> Clause 16A.8

<sup>5</sup> Clause 16A.10

<sup>6</sup> Clause 10.3

## Appendix A Functions and processes

### Function 1 – Administrative tasks

A.1 This table describes the Code obligations of MEPs', Auditors and the Authority in respect of administrative tasks relating to audits.

#### Pre-audit.

Code reference	Description	Notes
Clauses 10.20 and 11.18B and Part 16A	<p>The MEP must appoint an auditor. The MEP and the auditor should enter into a contract for the provision of auditing services. The auditor should be clear on the scope and reporting of the audit with the MEP, including the:</p> <ul style="list-style-type: none"> <li>• process and procedures to be audited</li> <li>• Code obligations to be audited</li> <li>• specific emphasis or scope that has been determined by the Authority</li> <li>• the reason(s) for the audit.</li> </ul> <p>The auditor may request the following types of supporting information from the MEP:</p> <ul style="list-style-type: none"> <li>• a copy of its last two audit reports</li> <li>• a copy of any agents audit report where an agent is engaged, if there is a separate report, that is relative to the functions to be audited</li> <li>• correspondence supporting its last two audit reports</li> <li>• information regarding the reconciliation participant 's company structure, and the names of contractors and service providers that assist with, or are used in, the functions to be audited</li> <li>• a list of manufacturers of the hardware and software that assist or are used in the process that is being audited.</li> </ul> <p>The auditor obtains a letter from the MEP authorising the collection of information from other parties agreed in the audit scope, and requests the necessary information for the audit from those parties.</p> <p>The auditor must obtain from the Authority copies of any alleged, under investigation, or closed breaches that have occurred in the past twelve months that relate to the processes being audited.</p>	

Post-audit

Code reference	Description	Notes
Clause 16A.12(1)(b)	The auditor must send a draft audit report setting out the provisional findings of the audit to the MEP and give the MEP a reasonable opportunity to comment on the draft audit report.	More detailed processes and requirements for auditors are included in the document " <i>Auditor Protocol</i> ".
Clause 16A.12(1)(c) & (d)	The auditor must provide the final audit report to the MEP after considering any comments from the MEP on the draft audit report.	
Clause 16A.12(1)(e)	<p>The final audit report must specify the following:</p> <ul style="list-style-type: none"> <li>• the extent to which the MEP has failed to comply with the provisions of the Code</li> <li>• any conditions that the auditor considers the MEP must satisfy in order to comply with the Code</li> <li>• recommendations</li> <li>• any action that the MEP has taken in respect of those conditions</li> <li>• a recommended date for the next audit</li> <li>• any of the MEPs comments on the draft audit report that the auditor considers relevant..</li> </ul>	
Clause 16A.13	<p>The MEP must give the final audit report to the Authority no later than the date by which the audit is due.</p> <p>If the final audit report identifies any breach or potential breach of the Code, the MEP must provide a compliance plan to the Authority when it submits the final audit report. The compliance plan must specify the actions the MEP intends to take to address any breach (or potential breach with the Code and time frames within which the MEP intends to complete those actions.</p>	
Clause 16A.14	An audit is complete when the MEP that is subject to the audit gives the Authority the final audit report and compliance plan (if any).	
Clause 16A.15	The Authority must publish the final audit, compliance plan, and the date by which the next audit must be completed no later than 20 business days after advising the MEP of the date of the next audit.	

## Function 2 – Operational infrastructure

A.2 This table describes the Code obligations of MEPs' in respect of operational infrastructure. An MEP must ensure that systems and processes are in place to meet its obligations under the Code before it becomes responsible for individual metering installations. The auditor audits compliance against these obligations.

### Relevant provisions of the Code

Code reference	Description of obligations of MEP	Notes
Clause 10.9(2)	The MEP is responsible for providing and maintaining the services access interface.	<p>The services access interface is recorded in the certification report. It defines where information received from the metering installation can be made available to other parties.</p> <p>This will be either:</p> <ul style="list-style-type: none"> <li>• at the meter; or</li> <li>• where the information received from the metering installation can be made available to other parties (only when the MEP is the only party that can interrogate the meter).</li> </ul>
Clause 10.23	<p>The MEP is responsible if it:</p> <ul style="list-style-type: none"> <li>• is identified in the registry as the primary metering contact; or</li> <li>• is the participant who owns the meter for the POC or to the grid; or</li> <li>• has accepted responsibility under clause 1(1)(a)(ii) of Schedule 11.4; or</li> <li>• has contracted with a participant responsible for providing the metering installation.</li> </ul> <p>An MEP's obligations come into effect on the date recorded in the registry as being the date on which the metering installation equipment is installed or, for an NSP the effective date set out in the NSP table on the Authority's website.</p>	

Code reference	Description of obligations of MEP	Notes
	<p>An MEP's obligations terminate only when;</p> <ul style="list-style-type: none"> <li>• the ICP changes under clause 10.22(1)(a);</li> <li>• the NSP changes under clause 10.22(1)(b), in which case the MEP's obligations terminate from the date on which the gaining MEP assumes responsibility;</li> <li>• the metering installation is no longer required for the purposes of Part 15; or</li> <li>• the load associated with an ICP is converted to be used solely for unmetered load.</li> </ul>	
<p>Clause 10.50(1) to (3)</p>	<p>Dispute resolution:</p> <ul style="list-style-type: none"> <li>• participants must in good faith use its best endeavours to resolve any disputes related to Part 10 of the Code</li> <li>• disputes that are unable to be resolved may be referred to the Authority for determination</li> <li>• complaints that are not resolved by the parties or the Authority may be referred to the Rulings Panel by the Authority or participant.</li> </ul>	<p>Confirm if any disputes have occurred and if so how they were resolved.</p>
<p>Clause 7(1) of Schedule 10.6</p>	<p>The MEP must ensure it has a unique participant identifier and must use this participant identifier (if required) to correctly identify its information.</p>	<p>Identify:</p> <ul style="list-style-type: none"> <li>• The code(s) used by the participants</li> <li>• The code(s) that apply to the MEP functions</li> <li>• Any instances where incorrect use of participant codes have occurred.</li> </ul>
<p>Clause 40 of Schedule 10.7</p>	<p>The MEP must ensure that the use of its communication equipment complies with the compatibility and connection requirements of any communication</p>	

Code reference	Description of obligations of MEP	Notes
	network operator the MEP has equipment connected to.	
<p>Clause 11.2</p> <p>Clause 10.6</p>	<p>The MEP must take all practicable steps to ensure that information that the MEP is required to provide to any person under Parts 10 and 11 is:</p> <ul style="list-style-type: none"> <li>(a) complete and accurate</li> <li>(b) not misleading or deceptive</li> <li>(c) not likely to mislead or deceive.</li> </ul> <p>If the MEP becomes aware that in providing information under Parts 10 and 11, the MEP has not complied with that obligation, the MEP must, as soon as practicable, provide such further information as is necessary to ensure that the MEP does comply.</p>	<p>This clause applies to all information provided under Parts 10 and 11 and should be considered when assessing the provision of information under these parts.</p>

### Function 3 – Process for a change of MEP

- A.3 This table describes the Code obligations of MEPs in respect of a change of MEP. An MEP at an ICP can be changed only at the request of the participant responsible for ensuring that there is a metering installation (the trader for an ICP that is not an NSP, the network owner for an NSP and the grid owner for a GXP), and only if the responsible participant has an arrangement with the proposed new MEP. Note that this may include instances where the ICP switch event date coincides with a change of equipment on site, by arrangement with the gaining trader for an ICP. The gaining MEP can choose whether to use the existing metering components or change metering components.
- A.4 The auditor audits compliance against these obligations.

#### Relevant provisions of the Code

Code reference	Description of obligations of MEP	Notes
Clause 10.22(1)	The MEP for a metering installation may change only if the responsible participant enters into an arrangement with another person to become the MEP for the metering installation, and if certain notification requirements are met (in relation to the registry and the reconciliation manager).	
Clause 10.22(2) and (3)	The gaining MEP must pay the losing MEP a proportion of the costs within 20 business days of assuming responsibility. The costs are those directly and solely attributable to the certification and calibration tests of the metering installation or its components from the date of switch until the end of the current certification period.	
Clause 2 of Schedule 11.4	The gaining MEP must advise the registry manager of the registry metering records for the metering installation within 15 days of becoming the MEP for the metering installation.	
Clause 5 of Schedule 10.6	During an MEP switch, a gaining MEP may request access to the losing MEP's metering records. On receipt of a request from the gaining MEP, the losing MEP has 10 business days to provide the gaining MEP with the metering records or the facilities to enable the gaining MEP to access the metering records. The losing MEP must ensure that: (a) the metering records are only received by the gaining MEP or its contractor	

Code reference	Description of obligations of MEP	Notes
	<p>(b) the security of the metering records is maintained</p> <p>(c) only the specific metering records required for the purposes of the gaining MEP exercising its rights and performing its obligations are provided</p>	
Clause 10.23(2)	<p>Even if the MEP ceases to be responsible for an installation, the MEP must either:</p> <ul style="list-style-type: none"> <li>• comply with its continuing obligations; or</li> <li>• before its continuing obligations terminate, enter into an arrangement with a participant to assume those obligations.</li> </ul>	

## Function 4 – Installation and modification of metering installations

- A.5 This table describes the Code obligations of MEPs in respect of the installation and modification of metering installations. The MEP is accountable for the design of metering installations for which it is responsible. This includes obtaining a design report for the installation or modification of the installation as well as ensuring that the installation is appropriate and certified.
- A.6 The auditor audits compliance against these obligations.

### Relevant provisions of the Code

Code reference	Description of obligations of MEP	Notes
Clause 2 of Schedule 10.7	<p>The MEP must obtain a design report for each proposed new metering installation or a modification to an existing metering installation, before it installs the new metering installation or before the modification commences.</p> <p>Clause 2(2) and (3)- The design report must be prepared by a person with the appropriate level of skills, expertise, experience and qualifications and must include:</p> <ul style="list-style-type: none"> <li>• a schematic drawing</li> <li>• details of the configuration scheme that programmable metering components are to include</li> <li>• confirmation that the configuration scheme has been approved by an approved test laboratory</li> <li>• maximum interrogation cycle</li> <li>• any compensation factor arrangements</li> <li>• method of certification required</li> <li>• name and signature of the person who prepared the report and the date it was signed.</li> </ul> <p>Clause 2(4)- The MEP must provide the design report to the certifying ATH before the ATH installs or modifies the metering installation (or a metering component in the metering installation).</p>	
Clause 9 of Schedule 10.6	The MEP must, when contracting with an ATH in relation to the certification of a metering installation, ensure that the ATH has the appropriate scope of approval	MEPs are encouraged to have a process in place to achieve this.

Code reference	Description of obligations of MEP	Notes
	for the required certification activities.	
Clause 4(1) of Schedule 10.7	<p>The MEP must ensure that:</p> <ul style="list-style-type: none"> <li>• the sum of the measured error and uncertainty does not exceed the maximum permitted error set out in Table 1 of Schedule 10.1 for the category of the metering installation</li> <li>• the design of the metering installation (including data storage device and interrogation system) will ensure the sum of the measured error and the smallest possible increment of the energy value of the raw meter data does not exceed the maximum permitted error set out in Table 1 of Schedule 10.1 for the category of installation</li> <li>• the metering installation complies with the design report and the requirements of Part 10.</li> </ul>	<p>Ensure metering accuracy is less than that set out in Table 1 of Schedule 10.1.</p> <p>Ensure any truncation or rounding due to the data logger / interrogation system will still ensure the accuracy set out in Table 1 of Schedule 10.1 is met.</p> <p>Ensure that uncertainty is considered as part of the error calculations for comparative certification and fully calibrated metering installations.</p> <p>Ensure the metering installation matches the final design report.</p>
Clause 4(2)(a) of Schedule 10.7	For metering installations for ICPs that are not also NSPs, the MEP must ensure that the metering installation does not use subtraction to determine submission information used for the purposes of Part 15.	
Clause 4(2)(b) of Schedule 10.7	For metering installations for ICPs that are not also NSPs, the MEP must ensure that all category 3 or higher metering installations must be half-hour metering installations.	
Clause 4(3) of Schedule 10.7	<p>The MEP must ensure that the metering installation for each NSP that is not connected to the grid:</p> <ul style="list-style-type: none"> <li>• does not use subtraction to determine submission information used for the purposes of Part 15</li> <li>• is a half-hour metering installation.</li> </ul>	
Clause 10.26(10)	The MEP must ensure that each POC to the grid for which there is a metering installation that it is responsible for has a half hour metering installation.	
Clause 4(4) of Schedule 10.7	The MEP must, for each metering installation for which it is responsible, ensure that it is appropriate having regard to the physical and electrical characteristics of	For example, having regard to the physical and electrical requirements

Code reference	Description of obligations of MEP	Notes
	the POC.	in the electrical safety regulations.
Clauses 10.34(2), (2A) and (3)	<p>If a metering installation is proposed to be installed or modified at a POC, other than a POC to the grid, the MEP must consult with and use its best endeavours, to agree with the distributor and the trader for that POC, before the design is finalised, on the metering installation's:</p> <ul style="list-style-type: none"> <li>• required functionality</li> <li>• terms of use</li> <li>• required interface format</li> <li>• integration of the ripple receiver and the meter</li> <li>• functionality for controllable load.</li> </ul> <p>Each participant involved in the consultations must use its best endeavours to reach agreement and act reasonably and in good faith.</p>	
Clause 3 of Schedule 11.4	<p>The MEP must advise the registry manager of the registry metering records or any change to the registry metering records for a metering installation for which it is responsible, no later than 10 business days following:</p> <p>(a) the electrical connection of an ICP that is not also an NSP</p> <p>(b) any subsequent change in any matter covered by the metering records.</p>	
Clause 10.39(1)	<p>The MEP must ensure that for each metering installation:</p> <ul style="list-style-type: none"> <li>• an appropriately designed metering infrastructure is in place</li> <li>• each metering component is compatible with, and will not interfere with any other component in the installation</li> <li>• collectively, all metering components integrate to provide a functioning system</li> <li>• each metering installation is correctly and accurately integrated within the associated metering infrastructure.</li> </ul>	Does not apply to an electrically disconnected metering installation (clause 10.39(2)).
Clause 11.18B(3)	If an ICP is to be decommissioned, the MEP who is responsible for each metering installation for the ICP must:	The MEP is responsible for the final interrogation if they are responsible for interrogating the meter under

Code reference	Description of obligations of MEP	Notes
	<ul style="list-style-type: none"> <li>• advise the trader no later than 3 business days prior to decommissioning that the trader must, as part of the decommissioning, carry out a final interrogation; or</li> <li>• if the MEP is responsible for the interrogation of the metering installation, arrange for a final interrogation to take place.</li> </ul>	clause 8(2)(b) of Schedule 10.6.
Clause 31(4) and (5) of Schedule 10.7	<p>The MEP must, before approving the addition of, or change to, the burden or compensation factor of a measuring transformer in a metering installation, consult with the ATH who certified the metering installation.</p> <p>If the MEP approves the addition of, or change to, the burden or compensation factor, it must ensure the metering installation is recertified by an ATH before the addition or change becomes effective.</p>	
Clause 39(1) of Schedule 10.7	<p>The MEP must, if it proposes to change the software, ROM or firmware of a data storage device installed in a metering installation, ensure that, before the change is carried out, an approved test laboratory:</p> <ul style="list-style-type: none"> <li>• tests and confirms that the integrity of the measurement and logging of the data storage device would be unaffected</li> <li>• documents the methodology and conditions necessary to implement the change</li> <li>• advises the ATH that certified the metering installation of any change that might affect the accuracy of the data storage device.</li> </ul>	
Clause 39(2) of Schedule 10.7	<p>The MEP must, when implementing a change to the software, ROM, or firmware of a data storage device installed in a metering installation:</p> <ul style="list-style-type: none"> <li>• carry out the change in accordance with the methodology and conditions identified by the approved test laboratory under clause 39(1)(b)</li> <li>• keep a list of the data storage devices that were changed</li> <li>• update the metering records for each installation affected with the details of the change and the methodology used.</li> </ul>	
Clauses 10.29A(3), 10.30A(4) and	An MEP must not request the temporary electrical connection of a new POC unless authorised to do so by the reconciliation participant responsible for that	

Code reference	Description of obligations of MEP	Notes
10.31A(3)	POC and has an arrangement with that reconciliation participant to provide metering services.	

## Function 5 – Metering records

A.7 This table describes the Code obligations of MEPs in respect of metering records. The Code requires MEPs to maintain, and keep accurate and complete metering records. This includes ‘metering records’ and ‘registry metering records’. Registry metering records are used during switching as well as in the reconciliation and billing process by other participants. The auditor audits compliance against these obligations.

### Relevant provisions of the Code

Code reference	Description of obligations of MEP	Notes
Clause 4(1)(a) of Schedule 10.6	The MEP must, for each metering installation for which it is responsible, keep accurate and complete records of the attributes set out in Table 1 of Schedule 11.4.	

Code reference	Description of obligations of MEP	Notes
Clause 4(1)(b) of Schedule 10.6 Table 1, Schedule 11.4	<p>The MEP must, for each metering installation for which it is responsible (other than an interim certified metering installation), keep accurate and complete records, which include:</p> <ul style="list-style-type: none"> <li>• the certification expiry date of each metering component in the metering installation</li> <li>• all equipment used in relation to the metering installation, including serial numbers and details of the equipment's manufacturer</li> <li>• the manufacturer's or (if different) most recent test certificate for each metering component in the metering installation</li> <li>• the metering installation category and any metering installations certified at a lower category</li> <li>• all certification reports and calibration reports showing dates tested, tests carried out, and test results for all metering components in the metering installation</li> <li>• the contractor who installed each metering component in the metering installation</li> <li>• the certification sticker, or equivalent details, for each metering component that is certified under Schedule 10.8 in the metering installation</li> <li>• any variations or use of the 'alternate certification' process</li> <li>• seal identification information</li> <li>• any applicable compensation factors</li> <li>• the owner of each metering component within the metering installation</li> <li>• any applications installed within each metering component</li> <li>• the signed inspection report confirming that the metering installation complies with the requirements of Part 10.</li> </ul>	<p>It is recognised that MEPs often use ATHs to keep records, the MEP is still responsible and must be able to provide this information as required by the Code.</p> <p>Note: there is a difference between calibration reports and certification reports. Calibration is the confirmation that the meter records accurately whereas certification occurs once the ATH has approved the calibration report and the type test report.</p>

Code reference	Description of obligations of MEP	Notes
Clause 4(2) of Schedule 10.6	The MEP must, within 10 business days of receiving a request from a participant for a signed inspection report prepared under clause 44 of Schedule 10.7, make a copy of the report available to the participant.	
Clause 4(3) of Schedule 10.6	The MEP must keep metering installation records for 48 months after any metering component is removed, or any metering installation is decommissioned.	
Clause 6 of Schedule 10.6	If the MEP contracts with an ATH to recertify a metering installation and the ATH did not previously certify the metering installation, the MEP must provide the ATH with a copy of all relevant metering records not later than 10 business days after the contract comes into effect.	

## Function 6 – Maintenance of registry information

A.8 This table describes the Code obligations of MEPs (or participants) in respect of maintenance of registry information. The MEP is responsible for updating the registry metering records in the registry within the timeframes specified by the Code. This includes updating any changes and additions to metering records. The MEP must update registry metering records within the timeframes specified in Schedule 11.4 of the Code. The MEP must also perform discrepancy reporting on the registry metering records reports held by the registry. The auditor audits compliance against these obligations.

### Relevant provisions of the Code

Code reference	Description of obligations of MEP	Notes
Clause 1(1) of Schedule 11.4	Within 10 business days of being advised by the registry that it is the gaining MEP for the metering installation for the ICP, the MEP must enter into an arrangement with the trader and advise the registry manager it accepts responsibility for the ICP and of the proposed date on which it will assume responsibility.	The MEP may advise the registry manager that it declines the ICP, however this is not mandatory under the Code. The Authority encourages MEPs to decline a notification if they do not accept responsibility as the MEP for the metering installation for that ICP.
Clause 2 of Schedule 11.4	If the MEP for a metering installation for an ICP changes, the new MEP must advise the registry manager of the registry metering records for the metering installation within 15 business days of becoming the new MEP.	This applies if the MEP switches to another MEP or a gaining trader makes a nomination.
Clause 7 (1) and (2) of Schedule 11.4	The MEP must provide the information indicated as being 'required' in Table 1 of clause 7 of Schedule 11.4 to the registry manager, in the prescribed form for each metering installation for which the MEP is responsible.  From 1 April 2015, a MEP is required to ensure that all the registry metering records of its category 1 metering installations are complete, accurate, not misleading or deceptive, and not likely to mislead or deceive.	However, clause 7(2) of Schedule 11.4 is also subject to clause 11.2 of the Code. This also requires that participants take all practicable steps to ensure that information provided under Part 11 is complete, accurate, not misleading or deceptive, and not likely to mislead or deceive.
Clause 7 (3) of Schedule 11.4	The information the MEP provides to the registry manager must derive from the metering equipment provider's records or the metering records contained within the current trader's system.	
Clause 6 of Schedule 11.4	By 0900 hours on the 13 <sup>th</sup> business day of each reconciliation period, the MEP must obtain from the registry: <ul style="list-style-type: none"> <li>a list of ICPs for the metering installations the MEP is responsible for</li> </ul>	The requirements of this clause are prescriptive and will generally involve the MEP:

Code reference	Description of obligations of MEP	Notes
	<ul style="list-style-type: none"> <li>the registry metering records for each ICP on that list.</li> </ul> <p>No later than 5 business days following collection of data from the registry, the MEP must compare the information obtained from the registry with the MEP's own records.</p> <p>Within 5 business days of becoming aware of any discrepancy between the MEP's records and the information obtained from the registry, the MEP must correct the records that are in error and advise the registry manager of any necessary changes to the registry metering records.</p>	<ul style="list-style-type: none"> <li>requesting a PR-010 file for a list of all their ICPs</li> <li>using the list of ICPs from the PR-010 file to request a PR-030 file for all the MEPs metering information</li> <li>using the MEPs systems and processes to compare the PR-030 records with the MEPs records.</li> </ul> <p>This comparison should check for both missing and extra ICPs as well as the accuracy of the registry and MEPs' records.</p>
Clause 20(2) of Schedule 10.7	The MEP must update the registry within 10 business days of becoming aware that one of the events described in Clause 20(1) of Schedule 10.7 has occurred in relation to a metering installation for which it is responsible.	The events listed in clause 20(1) lead to automatic cancellation of a metering installation's certification
Clause 10.6	<p>The MEP must take all practicable steps to ensure that information that the MEP provides to any person under Part 10 is:</p> <ul style="list-style-type: none"> <li>(a) complete and accurate</li> <li>(b) not misleading or deceptive</li> <li>(c) not likely to mislead or deceive.</li> </ul> <p>If the MEP becomes aware that in providing information under Part 10, the MEP has not complied with that obligation, the MEP must, as soon as practicable, provide such further information, or corrected information, as is necessary to ensure that the MEP does comply.</p>	Clause 10.6 is subject to clause 10.43, which relates to situations where metering installations may be inaccurate, defective, or not fit for purpose.
Clause 11.8A	The MEP must provide the registry with the required metering information for each metering installation the MEP is responsible for, and update the registry metering records in accordance with Schedule 11.4.	

## Function 7 – Certification of metering installations

A.9 This table describes the Code obligations of MEPs' in respect of certifying metering installations and metering components. The auditor audits compliance against these obligations.

### Relevant provisions of the Code

Code reference	Description of obligations of MEPs	Notes
Clause 10.38(a), clauses 1 and 15 of Schedule 10.7	<p>The MEP must obtain and maintain certification for all installations and metering components for which it is responsible. The MEP must ensure it:</p> <ul style="list-style-type: none"> <li>• performs regular maintenance, battery replacement, repair/replacement of components of the metering installations</li> <li>• updates the metering records at the time of the maintenance</li> <li>• has a recertification programme that will ensure that all installations are recertified prior to expiry.</li> </ul>	This may not apply to ICPs that are electrically disconnected.
Clause 10.38(b) and clause 9 of Schedule 10.6	<p>For each metering component and metering installation an MEP is responsible for, the MEP must ensure that:</p> <ul style="list-style-type: none"> <li>• an ATH performs the appropriate certification and recertification tests</li> <li>• the ATH has the appropriate scope of approval to certify and recertify the metering installation.</li> </ul>	It is expected that the MEP will take an active role ensuring the ATH is contracted to and performs the appropriate certification and recertification tests and appropriate scope of approval.
Clause 10.37(1)	<p>For any category 2 or higher half-hour metering installation that is certified after 29 August 2013, the MEP must ensure that the installation has active and reactive measuring and recording capability.</p> <p>Consumption only installations that is a category 3 metering installation or above must measure and separately record:</p> <ol style="list-style-type: none"> <li>i. import active energy</li> <li>ii. import reactive energy</li> <li>iii. export reactive energy.</li> </ol> <p>Consumption only installations that are a category 2 metering installation</p>	

Code reference	Description of obligations of MEPs	Notes
	<p>must measure and separately record import active energy. All other installations must measure and separately record:</p> <ul style="list-style-type: none"> <li>i. import active energy</li> <li>ii. export active energy</li> <li>iii. import reactive energy</li> <li>iv. export reactive energy.</li> </ul>	
Clause 10.37(2)(a)	<p>All grid connected POCs with metering installations which are certified after 29 August 2013 should measure and separately record:</p> <ul style="list-style-type: none"> <li>i. import active energy</li> <li>ii. export active energy</li> <li>iii. import reactive energy</li> <li>iv. export reactive energy.</li> </ul>	
Clause 10.37(2)(b)	<p>The accuracy of each local service metering installation in grid substations must be within the tolerances set out in Table 1 of Schedule 10.1.</p>	
Clause 30(1) of Schedule 10.7	<p>The MEP must not permit a measuring transformer to be connected to equipment used for a purpose other than metering, unless it is not practical for the equipment to have a separate measuring transformer.</p>	
Clause 31(2) of Schedule 10.7	<p>The MEP must ensure that a change to, or addition of, a measuring transformer burden or a compensation factor related to a measuring transformer is carried out only by:</p> <ul style="list-style-type: none"> <li>(a) the ATH who most recently certified the metering installation</li> <li>(b) for a POC to the grid, by a suitably qualified person approved by both the MEP and the ATH who most recently certified the metering installation.</li> </ul>	
Clauses 6(1)(b) and (d) of	<p>A category 2 or higher metering installation may be certified by an ATH at a lower category than would be indicated solely on the primary rating of</p>	<p>An Auditor should examine records of metering installations certified at a lower</p>

Code reference	Description of obligations of MEPs	Notes
Schedule 10.7	<p>the current if the MEP, based on historical metering data, reasonably believes that:</p> <ul style="list-style-type: none"> <li>• the maximum current will at all times during the intended certification period be lower than the current setting of the protection device for the category for which the metering installation is certified, or is required to be certified by the Code; or</li> <li>• the metering installation will use less than 0.5 GWh in any 12 month period.</li> </ul>	<p>category to verify:</p> <ul style="list-style-type: none"> <li>• one of either the limiting <u>or</u> monitored factors is present for each instance</li> <li>• that the monitoring activity required under clause 6(2) of Schedule 10.7 is carried out where this is relevant.</li> </ul> <p>Note that where a metering installation has been certified at a lower category and the above is not carried out, that the certification of the metering installation is automatically cancelled (clause 20(1)(f) of Schedule 10.7). Clause 6(1)(a) and (c) provide that a category 2 or higher metering installation may also be certified at a lower category than would otherwise be the case if the metering installation uses less than 0.5 GWh in any 12 month period, or if there is a protection device, including a fuse or circuit breaker, installed that limits the maximum current of the metering installation of the site.</p>
Clause 6(2)(b) of Schedule 10.7	<p>If a metering installation is categorised under clause 6(1)(b), the ATH may, if it considers appropriate, and, at the MEP's request, determine the metering installation's category according to the metering installation's expected maximum current.</p> <p>If a meter is certified in this manner:</p> <ul style="list-style-type: none"> <li>• the MEP must, each month, obtain a report from the participant interrogating the metering installation, which details the maximum current from raw meter data from the metering installation by either calculation from the kVA by trading period, if available, or from a maximum current indicator if fitted in the metering installation conveyed through the POC for the prior month; and</li> <li>• if the MEP does not receive a report, or the report demonstrates</li> </ul>	<p>An Auditor should confirm that processes are also in place to ensure that if an installations certification is cancelled the registry is updated and ATH notified.</p>

Code reference	Description of obligations of MEPs	Notes
	<p>that the maximum current conveyed through the POC was higher than permitted for the metering installation category it is certified for, then the certification for the metering installation is automatically cancelled.</p>	
<p>Clauses 14(3) and (4) of Schedule 10.7</p>	<p>If there is insufficient electricity conveyed through a POC to allow the ATH to complete a prevailing load test for a metering installation that is being certified as a half hour meter and the ATH certifies the metering installation the MEP must:</p> <ul style="list-style-type: none"> <li>• obtain and monitor raw meter data from the metering installation at least once each calendar month to determine if load during the month is sufficient for a prevailing load test to be completed:</li> <li>• if there is sufficient load, arrange for an ATH to complete the tests (within 20 business days).</li> </ul>	<p>The Auditor should examine records of metering installations certified under this clause and verify that the monitoring activity required is carried out.</p>
<p>Clause 14(6) of Schedule 10.7</p>	<p>If the tests conducted under clause 14(4) of Schedule 10.7 demonstrate that the metering installation is not within the relevant maximum permitted error:</p> <ul style="list-style-type: none"> <li>• the metering installation certification is automatically revoked:</li> <li>• the certifying ATH must advise the MEP of the cancellation within 1 business day:</li> <li>• the MEP must follow the procedure for handling faulty metering installations (clause 10.43–10.48).</li> </ul>	

Code reference	Description of obligations of MEPs	Notes
Clauses 32(2), (3) and (4) of Schedule 10.7	<p>If an ATH cannot comply with the requirements to certify a metering installation due to measuring transformer access issues, and therefore certifies the metering installation in accordance with clause 32(1) of Schedule 10.7, the MEP must:</p> <ul style="list-style-type: none"> <li>• advise the Authority, by no later than 10 business days after the date of certification of the metering installation, of the details in clause 32(2)(a) of Schedule 10.7</li> <li>• respond, within 5 business days, to any requests from the Authority for additional information</li> <li>• ensure that all of the details are recorded in the metering installation certification report</li> <li>• take all steps to ensure that the metering installation is certified before the certification expiry date.</li> </ul> <p>If the Authority determines the ATH could have obtained access the metering installation is deemed to be defective and the MEP must follow the process of handling faults metering installations in clauses 10.43 to 10.48.</p>	
Clause 23 of Schedule 10.7	<p>If a time keeping device that is not remotely monitored and corrected controls the switching of a meter register in a metering installation, the MEP must ensure that the time keeping device:</p> <ol style="list-style-type: none"> <li>i. has a time keeping error of not greater than an average of 2 seconds per day over a period of 12 months</li> <li>ii. is monitored and corrected at least once every 12 months.</li> </ol>	
Clause 35 of Schedule 10.7	<p>The participant must, within 10 business days of bridging out a control device or becoming aware of a control device being bridged out, advise the following parties:</p> <ul style="list-style-type: none"> <li>• the relevant reconciliation participant</li> <li>• the relevant metering equipment provider</li> </ul> <p>If the control device is used for reconciliation, the metering installation is</p>	

Code reference	Description of obligations of MEPs	Notes
	considered defective in accordance with clause 10.43.	
Clause 34(5) of Schedule 10.7	<p>If the MEP is advised by an ATH that the likelihood of a control device not receiving signals would affect the accuracy or completeness of the information for the purposes of Part 15, the MEP must, within 3 business days advise the following parties of the ATH's determination (including all relevant details):</p> <ul style="list-style-type: none"> <li>(a) the reconciliation participant for the POC for the metering installation</li> <li>(b) the control signal provider.</li> </ul>	
Clauses 16(1) and (5) of Schedule 10.7	<p>The MEP may arrange for an ATH to recertify a group of category 1 metering installations for which the MEP is responsible using a statistical sampling process.</p> <p>The MEP must update the registry in accordance with Part 11 on the advice of an ATH as to whether the group meets the recertification requirements.</p>	
Clause 24(3) of Schedule 10.7	<p>If a compensation factor must be applied to a metering installation that is an NSP, the MEP must advise the reconciliation participant responsible for the metering installation of the compensation factor within 10 days of certification of the installation.</p> <p>In all other cases, the MEP must update the compensation factor recorded in the registry in accordance with part 11.</p>	
Clause 26(1) of Schedule 10.7	The MEP must ensure that each meter in a metering installation it is responsible for is certified.	
Clause 28(1) of Schedule 10.7	The MEP must ensure that each measuring transformer in a metering installation it is responsible for is certified.	
Clause 36(1) of Schedule 10.7	The MEP must ensure that each data storage device in a metering installation it is responsible for is certified.	
Clause 7 (3) Schedule 10.3	If the MEP is notified by the Authority that an ATH's approval has expired, been cancelled or been revised, the MEP must treat all metering installations certified by the ATH during the period where the ATH was not approved to perform the activities as being defective and follow the	If an ATH is no longer approved by the Authority, the Authority must tell the MEP and any work the ATH has done must be

Code reference	Description of obligations of MEPs	Notes
	procedures set out in clauses 10.43 to 10.48.	treated as being defective.
Clause 18 of Schedule 10.7	The MEP must ensure that each interim certified metering installation on 28 August 2013 is certified by no later than 1 April 2015.	The Auditor should identify all meters which held interim certification on 28 August 2013 but are no longer certified.

## Function 8 – Inspection of metering installations

A.10 This table describes the Code obligations of MEPs' in respect of the inspection of metering installations and the MEPs' obligation to ensure that they continue to meet certification requirements throughout the certification period. The auditor audits compliance against these obligations.

### Relevant provisions of the Code.

Code reference	Description of obligations of MEPs	Notes
Clause 45(1) and (2) of Schedule 10.7	<p>The MEP must ensure that category 1 metering installations (other than interim certified metering installations):</p> <ul style="list-style-type: none"> <li>• have been inspected by an ATH within 120 months from the date of the metering installation's most recent certification or</li> <li>• for each 12 month period, commencing 1 January and ending 31 December, a sample of the category 1 metering installations selected under clause 45(2) of Schedule 10.7 has been inspected by an ATH.</li> </ul>	
Clause 45(3) of Schedule 10.7	<p>Before a sample inspection process can be carried out, the MEP must submit a documented process for selecting the sample to the Electricity Authority, at least 2 months prior to first date on which the inspections are to be carried out, for approval (and promptly provide any other information the Authority may request).</p>	<p>The Auditor should ensure that approval has been sought and given.</p>
Clause 45(5) of Schedule 10.7	<p>The MEP must not inspect a sample unless the Authority has approved the documented process.</p>	<p>The Auditor should request confirmation from the Authority before beginning sampling.</p>
Clause 45(6) of Schedule 10.7	<p>The MEP must, for each inspection conducted under clause 45(1)(b), keep records detailing:</p> <ul style="list-style-type: none"> <li>• any defects identified that have affected the accuracy or integrity of the raw meter data recorded by the metering installation</li> <li>• any discrepancies identified under clause 44(5)(b)</li> <li>• relevant characteristics, sufficient to enable reporting of correlations or relationships between inaccuracy and characteristics</li> <li>• the procedure used, and the lists generated, to select the sample</li> </ul>	<p>Records should include:</p> <ul style="list-style-type: none"> <li>• the ICPs inspected</li> <li>• due inspection date</li> <li>• actual inspection date</li> <li>• inspection method (sample or entire population)</li> <li>• a summary of instances of non-compliance and defects that could</li> </ul>

Code reference	Description of obligations of MEPs	Notes
	under clause 45(2).	<p>have affected the accuracy</p> <ul style="list-style-type: none"> <li>• validity of raw meter data and significant correlations between inaccuracy and installation characteristic.</li> </ul>
Clause 45(7) of Schedule 10.7	<p>The MEP must, if it believes a metering installation that has been inspected is or could be inaccurate, defective or not fit for purpose:</p> <ul style="list-style-type: none"> <li>• comply with clause 10.43</li> <li>• arrange for an ATH to recertify the metering installation if the metering is found to be inaccurate under Table 1 of Schedule 10.1, or defective or not fit for purpose.</li> </ul>	
Clause 45(8) of Schedule 10.7	<p>The MEP must by 1 April in each year, provide the Authority with a report that states whether the MEP has, for the previous 1 January to 31 December period, arranged for an ATH to inspect each category 1 metering installation for which it is responsible under clause 45(1)(a) or (b).</p> <p>This report must include the matters specified in clauses 45(8)(a) and (b).</p>	
Clause 45(10) of Schedule 10.7	<p>If the MEP is advised by the Authority that the tests do not meet the requirements under clause 45(9) of Schedule 10.7, the MEP must select the additional sample under that clause, carry out the required inspections, and report to the Authority, within 40 business days of being advised by the Authority.</p>	
Clause 46(1) of Schedule 10.7	<p>The MEP must ensure that each category 2 or higher metering installation is inspected by an ATH at least once within the applicable period. The applicable period begins from the date of the metering installation's most recent certification and extends to:</p> <ul style="list-style-type: none"> <li>• 120 months for category 2</li> <li>• 60 months for category 3</li> <li>• 30 months for category 4</li> </ul>	

Code reference	Description of obligations of MEPs	Notes
	<ul style="list-style-type: none"> <li>• 18 months for category 5.</li> </ul>	
Clause 44(5) of Schedule 10.7	<p>The MEP must, within 20 business days of receiving an inspection report from an ATH:</p> <ul style="list-style-type: none"> <li>• undertake a comparison of the information received with its own records</li> <li>• investigate and correct any discrepancies</li> <li>• update the metering records in the registry.</li> </ul>	
Clause 4(2) of Schedule 10.6	<p>The MEP must make a copy of the signed inspection report available to a participant within 10 business days of the participant making the request.</p>	
Clause 48(4) and (5) of Schedule 10.7	<p>If the MEP is advised of a broken or removed seal it must use reasonable endeavours to determine:</p> <ul style="list-style-type: none"> <li>(i) who removed or broke the seal</li> <li>(ii) the reason for the removal or breakage,</li> </ul> <p>and arrange for an ATH to carry out an inspection of the removal or breakage and determine any work required to remedy the removal or breakage.</p> <p>The MEP must make the above arrangements within:</p> <ul style="list-style-type: none"> <li>(a) 3 business days, if the metering installation is category 3 or higher</li> <li>(b) 10 business days if the metering installation is category 2</li> <li>(c) 20 business days if the metering installation is category 1.</li> </ul>	<p>The timing relates to the MEP arrangement with the ATH, not the timeframes the ATH must have completed the work by.</p>

## Function 9 – Process for handling faulty metering installations

A.11 This table describes the Code obligations of MEPs (or participants) in respect of handling faulty metering installations. A faulty metering installation is one that is inaccurate, defective, or not fit for purpose. A faulty metering installation may be reported to the MEP by a participant, or may be discovered to be faulty by the MEP. If an MEP receives information from a participant that a metering installation may be faulty, it must investigate and report on the situation to all affected participants as soon as reasonably practicable. The auditor audits compliance against these obligations.

### Relevant provisions of the Code

Code reference	Description of obligations of MEP	Notes
Clause 10.43(4) and (5)	<p>If the MEP is advised or becomes aware that a metering installation may be inaccurate, defective, or not fit for purpose, it must investigate and report on the situation to all affected participants as soon as reasonably practicable after becoming aware of the information, but no later than;</p> <ul style="list-style-type: none"> <li>(a) 20 business days for Category 1,</li> <li>(b) 10 business days for Category 2 and</li> <li>(c) 5 business days for Category 3 or higher.</li> </ul>	<p>Review any complaints of potential faulty installations.</p> <p>Timeframes are for investigation and to report on issue, not necessarily resolution.</p>
Clause 10.44(1)	<p>If a report prepared under clause 10.43(4)(c) demonstrates that a metering installation is inaccurate, defective, or not fit for purpose, the MEP must arrange for an ATH to test the metering installation and provide a 'statement of situation'.</p>	
Clause 10.44(3)	<p>If the MEP is advised by a participant under clause 10.44(2)(a) that the participant disagrees with the report that demonstrates that the metering installation is accurate, not defective and fit for purpose, the MEP must arrange for an ATH to:</p> <ul style="list-style-type: none"> <li>(a) test the metering installation</li> <li>(b) provide the MEP with a statement of situation within 5 business days of: <ul style="list-style-type: none"> <li>(i) becoming aware that the metering installation may be inaccurate, defective or not fit for purpose; or</li> </ul> </li> </ul>	<p>The participant must use its best endeavours to agree with the MEP who will test the metering installation.</p>

Code reference	Description of obligations of MEP	Notes
	(ii) reaching an agreement with the participant.	
Clause 10.44(7)	The MEP is responsible for ensuring the ATH carries out testing as soon as practicable and provides a statement of situation.	
Clause 10.46(2)	<p>Within 3 business days of receiving the statement from the ATH, the MEP must provide copies of the statement to:</p> <ul style="list-style-type: none"> <li>• the relevant affected participants</li> <li>• the Authority (for all category 3 and above metering installations and any category 1 and category 2 metering installations) on request.</li> </ul>	

## Function 10 – Access to and provision of raw meter data and metering installations

A.12 This table describes the Code obligations of MEPs (or participants) in respect of access to and provision of raw meter data and metering installations. The MEP must obtain access to premises where it intends to install a metering installation by arrangement with the reconciliation participant. The auditor audits compliance against these obligations.

### Relevant provisions of the Code

Code reference	Description of obligations of MEP	Notes
Clause 1(1) and (4) of Schedule 10.6	The MEP must give authorised parties access to raw meter data within 10 business days of receiving the authorised party making a request.	
Clause 1(3) of Schedule 10.6	The MEP must only give access to raw meter data to a trader or person, if that trader or person has entered into a contract to collect, obtain, and use the raw meter data with the end customer.	
Clause 1(6) of Schedule 10.6	The MEP must provide the following when giving a party access to information: <ul style="list-style-type: none"> <li>(a) the raw meter data; or</li> <li>(b) the means (codes, keys etc.) to enable the party to access the raw meter data.</li> </ul>	
Clause 1(7) of Schedule 10.6	The MEP must, when providing raw meter data or access to an authorised person use appropriate procedures to ensure that: <ul style="list-style-type: none"> <li>• the raw meter data is received only by that authorised person or a contractor to the person</li> <li>• the security of the raw meter data and the metering installation is maintained</li> <li>• access to the raw meter data is limited to only the specific raw meter data under clause 1(7)(c) of Schedule 10.6.</li> </ul>	
Clause 2 of Schedule 10.6	The MEP must not give an authorised person access to raw meter data if to do so would breach clause 2(1) of Schedule 10.6.	
Clause 3(1), (3) and (4) of Schedule 10.6	The MEP must within 10 business days of receiving a request from one of the following parties, arrange physical access to each component in a metering installation: <ul style="list-style-type: none"> <li>• a relevant reconciliation participant with whom it has an arrangement (other</li> </ul>	

Code reference	Description of obligations of MEP	Notes
	<p>than a trader)</p> <ul style="list-style-type: none"> <li>• the Authority</li> <li>• an ATH</li> <li>• an auditor</li> <li>• a gaining MEP.</li> </ul> <p>This access must include all necessary means to enable the party to access the metering components</p> <p>When providing access, the MEP must ensure that the security of the metering installation is maintained and physical access is limited to only the access required for the purposes of the Code, regulations in connection with the party's administration, audit and testing functions.</p>	
Clause 3(5) of Schedule 10.6	If the party requires urgent physical access to a metering installation, the MEP must use its best endeavours to arrange physical access.	
Clause 8(2)(a) and (b) of Schedule 10.6	<p>When raw meter data can only be obtained from an MEP's back office, the MEP must</p> <ul style="list-style-type: none"> <li>• ensure that the interrogation cycle does not exceed the maximum interrogation cycle shown in the registry</li> <li>• interrogate the metering installation at least once within each maximum interrogation cycle.</li> </ul>	
Clause 8(2)(c) of Schedule 10.6	<p>When raw meter data can only be obtained from an MEP's back office, the MEP must ensure that the internal clock is accurate, to within <math>\pm 5</math> seconds of:</p> <ul style="list-style-type: none"> <li>• New Zealand standard time; or</li> <li>• New Zealand daylight time.</li> </ul>	This check should be done each time the MEP carries out an interrogation.
Clause 8(3) of Schedule 10.6	When raw meter data can only be obtained from an MEP's back office, the MEP must record in the interrogation and processing system logs, the time, the date, and the extent of any change in the internal clock setting in the metering installation.	
Clauses 8(5)(a) to (d) of Schedule 10.6	When raw meter data can only be obtained from an MEP's back office, the MEP must ensure that a data storage device in a metering installation does not exceed	

Code reference	Description of obligations of MEP	Notes
	<p>the maximum time error set out in Table 1 of clause 8(5) of Schedule 10.6.</p> <p>The MEP must compare the time on the internal clock of the data storage device with the time on the interrogation and processing system clock, calculate and correct (if required by this provision) any time error, and advise the affected reconciliation participant.</p>	
Clauses 8(5)(e) and (f) of Schedule 10.6	When raw meter data can only be obtained from an MEP's back office, the MEP must, when interrogating a metering installation, download the event log, check the event log for evidence of malfunctioning or tampering, and if this is detected, carry out the appropriate requirements of Part 10.	
Clause 8(6) of Schedule 10.6	<p>When raw meter data can only be obtained from the MEP's back office, the MEP must ensure that all raw meter data downloaded as part of an interrogation and used for submitting information for the purposes of Part 15, is archived:</p> <ul style="list-style-type: none"> <li>• for no less than 48 months after the interrogation date</li> <li>• in a form that cannot be modified without creating an audit trail</li> <li>• in a form that is secure and prevents access by any unauthorised person</li> <li>• in a form that is accessible to authorised personnel.</li> </ul>	
Clause 10.15(2)	The MEP must take reasonable security measures to prevent loss or unauthorised access, use, modification, or disclosure of the metering data.	This is subject to the MEP's obligations under other enactments, the MEP being compelled by law, and to any other material the Authority incorporates into this Code (clause 10.15(3)).
Clause 8(4) of Schedule 10.6	When raw meter data can only be obtained from the MEP's back office, the MEP must ensure that the data storage device it interrogates does not exceed the maximum time error set out in Table 1 of clause 8(5) of Schedule 10.6.	
Clause 8(7) of Schedule 10.6	<p>When raw meter data can only be obtained from the MEP's back office, the MEP must, when interrogating a metering installation:</p> <p>(a) ensure an interrogation log is generated</p>	

Code reference	Description of obligations of MEP	Notes
	<p>(b) review the event log and:</p> <ul style="list-style-type: none"> <li>(i) take appropriate action</li> <li>(ii) pass the relevant entries to the reconciliation participant.</li> </ul> <p>(c) ensure the log forms part of an audit trail which includes:</p> <ul style="list-style-type: none"> <li>(i) the date and</li> <li>(ii) time of the interrogation</li> <li>(iii) operator (where available)</li> <li>(iv) unique ID of the data storage device</li> <li>(v) any clock errors outside specified limits</li> <li>(vi) method of interrogation</li> <li>(vii) identifier of the reading device used (if applicable).</li> </ul>	
<p>Clause 8(9) of Schedule 10.6</p>	<p>When raw meter data can only be obtained from the MEP's back office, the MEP must ensure that each electronic interrogation that retrieves half-hour metering information compares the information against the increment of the metering installations accumulating meter registers.</p>	<p>Note that clause 8(9) applies in the circumstances set out in clause 8(8).</p>
<p>Clause 10.48(2)-(3)</p>	<p>If the MEP is notified of a question or request for clarification in accordance with clause 10.48(1), the MEP must, within 10 business days:</p> <ul style="list-style-type: none"> <li>• respond in detail to the questions or requests for clarification</li> <li>• advise the reconciliation participant responsible for providing submission information for the POC of the correction factors to apply and period the factors should apply to.</li> </ul>	

## Audit frequency guidance

- A.13 An auditor must recommend a date by which the MEP must have completed its next audit and audit report. This provides a range from 3 months to 36 months between audits. This is to allow for a higher level of surveillance of MEPs that do not have fully functional processes and a consequent lower level of compliance.
- A.14 In accordance with the risk and materiality guidelines and auditor protocol, each non-compliance identified in the MEP's most relevant audit report will be assessed by the auditor and given a breach risk rating in accordance with the risk and materiality guidelines. The sum of the breach risk ratings determines the future risk rating. The future risk rating is used to determine the indicative audit frequency.
- A.15 This “indicative audit frequency” table below has been specifically calculated for MEPs and is not intended to be applied to other participant types.
- A.16 Auditors should use Table 1 to calculate the indicative audit frequency.

**Table 1: Indicative audit frequency**

<b>Future risk rating</b>	1–2	3–6	7–9	10–19	20–24	25+
<b>Indicative audit frequency</b>	36 months	24 months	18 months	12 months	6 months	3 months

Source: Electricity Authority

- A.17 The decision on the recommended audit date is a matter of the auditor's opinion but should take into consideration:
- the indicative audit frequency
  - the participant's proposed resolution of breaches (including breaches that have been cleared during the audit)
  - breaches that are outside of the participant's control (either due to needing improvements in the wording of the Code, or are due to the actions of another participant)
  - any instances where there is a risk of future breaches of the Code, but was not a breach in the audit report.