

**ENERGY**

**SMART METERS**

**DRAFT MODIFICATIONS TO THE STANDARD CONDITIONS OF ELECTRICITY AND  
GAS SUPPLY LICENCES, THE SMART METER COMMUNICATION LICENCES AND THE  
SMART ENERGY CODE (SMART METERS No. 2 of 2017)**

Presented to Parliament pursuant to section 89 of the Energy Act 2008



*Draft modifications to the Electricity and Gas Supply Licences, the Smart Meter Communication Licences and the Smart Energy Code laid before Parliament under section 89(3) of the Energy Act 2008; draft to lie for forty days pursuant to section 89(4) of that Act, during which period either House of Parliament may resolve that the licence modifications or the modifications to the Smart Energy Code not be made.*

## **ENERGY**

### **SMART METERS**

#### **DRAFT MODIFICATIONS TO THE STANDARD CONDITIONS OF ELECTRICITY AND GAS SUPPLY LICENCES, THE SMART METER COMMUNICATION LICENCES AND THE SMART ENERGY CODE (SMART METERS No. 2 of 2017)**

The Secretary of State makes the following licence modifications and modifications to the Smart Energy Code in exercise of the powers conferred by section 88(1) of the Energy Act 2008 ("the Act").

The Secretary of State has consulted the holders of any licence being modified, the Gas and Electricity Markets Authority and such other persons as the Secretary of State considered appropriate in accordance with section 89(1) of the Act.

A draft of these modifications has been laid before Parliament in accordance with section 89(3) of the Act. Neither House of Parliament resolved, within the 40-day period referred to in section 89(4) of the Act, that the Secretary of State should not make the modifications.

#### **Interpretation**

- 1 In these modifications –
  - (a) "Smart Energy Code" means the document of that title required to be maintained and in force in accordance with condition 21 of the smart meter communication licences; and
  - (b) "smart meter communication licences" means –
    - (i) the licence granted to Smart DCC Limited on 20 September 2013 under section 7AB(2) of the Gas Act 1986; and
    - (ii) the licence granted to Smart DCC Limited on 20 September 2013 under section 6(1A) of the Electricity Act 1989.

#### **Modifications to the standard conditions of electricity supply licences**

- 2 The standard conditions of electricity supply licences granted or treated as granted under section 6(1)(d) of the Electricity Act 1989 are modified, in accordance with paragraphs 3 to 12 below, with effect from the day after the day on which this instrument is made.
- 3 In standard condition 1 –

(a) delete the existing definitions of "HAN Connected Auxiliary Load Control Switch (or HCALCS)", "HAN Interface", "HCALCS Technical Specification", "IHD Technical Specification", "In-Home Display (or IHD)", "PPMID Technical Specification", "Prepayment Meter Interface Device (or PPMID)", "Smart Metering System", "SME Technical Specification", and "Valid"; and

(b) insert in alphabetical order the following new definitions –

**"Compatible**

in respect of a Version of a Technical Specification, means compatible, in accordance with the meaning given to that expression in Section F2.12 of the Smart Energy Code, with a Version of any other Technical Specification as identified in the matrix created and published by the SEC Panel pursuant to Section F2.11 of the Smart Energy Code.

**HAN Connected Auxiliary Load Control Switch (or HCALCS)**

means a device installed at any Domestic Premises or Designated Premises which on the date it is installed:

(a) comprises a device which:

(i) is capable of connecting through the HAN to a device forming part of a Smart Metering System; and

(ii) where such a connection is in place, has the functionality of controlling the supply of electricity to one or more loads in the premises by responding to commands received across the HAN to enable or disable the flow of electricity to any such load; and

(b) may also comprise one or more associated or ancillary devices, installed or provided for the purposes of the supply of electricity, identified in a Version (and where there is more than one such device, in the same Version) of the HCALCS Technical Specification which is within its Maintenance Validity Period on the date of installation.

**HAN Date**

means, in respect of each Domestic Premises, the date on which the HAN first extends into a

part of the premises that is located within the main dwelling area of the premises.

**HAN Interface**

means in respect of a Smart Metering System a HAN Interface:

- (a) having the meaning given to that term in the Metering Equipment Section of the Version of the SME Technical Specification in accordance with which the Smart Metering System is maintained pursuant to the requirements of standard condition 39 (Smart Metering System – Roll-out, Installation and Maintenance); and
- (b) which is operating at a frequency, and using the communications standards applicable to that frequency, as specified in that Version of the SME Technical Specification.

**HCALCS Technical Specification**

means the part(s) of the SME Technical Specification which:

- (a) identifies itself as such; and
- (b) applies in respect of a HCALCS,

and any reference to a "Version" in the context of a HCALCS Technical Specification shall be read as a reference to the Version of the SME Technical Specification in which the HCALCS Technical Specification is included.

**IHD Technical Specification**

means the part(s) of the SME Technical Specification which:

- (a) identifies itself as such; and
- (b) applies in respect of an In-Home Display,

and any reference to a "Version" in the context of an IHD Technical Specification shall be read as a reference to the Version of the SME Technical Specification in which the IHD Technical Specification is included.

**In-Home Display (or IHD)**

means a device provided at premises which, on

the date on which it is provided:

- (a) is a device of a type identified in a Version of the IHD Technical Specification which is within its Installation Validity Period on that date; and
- (b) as a minimum, has the functional capability specified by and complies with the other requirements of that Version of the IHD Technical Specification.

**Installation Validity Period** has the meaning given to it in the Smart Energy Code.

**Maintenance Validity Period** has the meaning given to it in the Smart Energy Code.

**Metering Equipment Section** means the part(s) of the SME Technical Specification identified in that document as applying to 'Electricity Smart Metering Equipment' (or in respect of any Version of the SME Technical Specification with a Principal Version number of 1, identified as applying to an 'Electricity Smart Metering System').

**PPMID Technical Specification** means the part(s) of the SME Technical Specification which:

- (a) identifies itself as such; and
- (b) applies in respect of a PPMID,

and any reference to a "Version" in the context of a PPMID Technical Specification shall be read as a reference to the Version of the SME Technical Specification in which the PPMID Technical Specification is included.

**Prepayment Meter Interface Device (or PPMID)** means a device installed at any Domestic Premises or Designated Premises which on the date it is installed:

- (a) comprises a device which:
  - (i) is capable of connecting through the HAN to a device forming part of a Smart

Metering System; and

(ii) where such a connection is in place, replicates the functionality provided by or on an Electricity Meter forming part of that Smart Metering System for the purposes of facilitating the use, by the Customer, of the Electricity Meter as a Prepayment Meter; and

(b) may also comprise one or more associated or ancillary devices, installed or provided for the purposes of the supply of electricity, identified in a Version (and where there is more than one such device, in the same Version) of the PPMID Technical Specification which is within its Maintenance Validity Period on the date of installation.

**Principal Version**

has the meaning given to it in the Smart Energy Code.

**Relevant Communications Hub**

means a Communications Hub which on the date it is installed at the Domestic Premises complies with a Version of the CH Technical Specification which is within its Installation Validity Period.

**Smart Metering System**

means, in respect of any Domestic Premises or Designated Premises, a system installed at such premises for the purposes of the supply of electricity to those premises which on the Installation Date:

(a) consists of an Electricity Meter and any associated or ancillary devices identified in the Metering Equipment Section of a Version of the SME Technical Specification which is:

(i) within its Installation Validity Period; and

(ii) the same Version in respect of all such devices;

- (b) as a minimum, has the functional capability specified by and complies with the other requirements of that Version of the SME Technical Specification; and
- (c) where the premises is a Domestic Premises, except where that Version of the SME Technical Specification has a Principal Version number of 1, includes a Relevant Communications Hub,

and where such a system installed at a Domestic Premises or Designated Premises is a Smart Metering System on the Installation Date it shall continue to be a Smart Metering System until such date as it is removed from the premises in its entirety.

<b>SME Technical Specification</b>	means the document set out in Schedule 9 of the Smart Energy Code.
<b>SM WAN</b>	has the meaning given to it in the Smart Energy Code.
<b>SM WAN Coverage Database</b>	has the meaning given to it in the Smart Energy Code.
<b>Sub-Version</b>	has the meaning given to it in the Smart Energy Code.
<b>Technical Specification</b>	means: <ul style="list-style-type: none"> <li>(a) in respect of a Smart Metering System, the Metering Equipment Section of the SME Technical Specification;</li> <li>(b) in respect of a Communications Hub, the CH Technical Specification;</li> <li>(c) in respect of an In-Home Display, the IHD Technical Specification;</li> <li>(d) in respect of a HAN Connected Auxiliary Load Control Switch, the HCALCS Technical Specification; and</li> <li>(e) in respect of a Prepayment Meter Interface Device, the PPMID Technical Specification.</li> </ul>



**Version**

has the meaning given to it in the Smart Energy Code."

4 In standard condition 39 –

(a) after existing paragraph 39.11 –

(i) in the heading following the heading "**PART C – DUTIES AFTER INSTALLATION AND DEFINITIONS**", after "**The duties after installation**" insert "**– maintenance and replacement of Smart Metering Systems**"; and

(ii) delete existing paragraphs 39.12 and 39.13 and insert new paragraphs 39.12 to 39.18 as follows –

"39.12 Paragraphs 39.13 to 39.18 apply to the licensee in respect of each Domestic Premises and Designated Premises at which:

(b) it is the Relevant Electricity Supplier; and

(c) there is installed a Smart Metering System,

(the **relevant premises**).

**Maintenance of Smart Metering Systems**

39.13 Where this paragraph applies, the licensee must take all reasonable steps to ensure that the Smart Metering System at the relevant premises is maintained so that at all times it satisfies the requirements in the Metering Equipment Section of a Version of the SME Technical Specification which is:

(a) within its Maintenance Validity Period;

(b) the same Version in respect of all devices (but excluding for this purpose a Communications Hub) comprised within that Smart Metering System;

(c) where the Smart Metering System at the premises includes a Communications Hub, Compatible with the Version of the CH Technical Specification in accordance with which that Communications Hub is maintained by the DCC;

(d) where there is installed at the relevant premises a PPMID, Compatible with the Version of the PPMID Technical Specification in accordance with which that PPMID is maintained by the licensee;

(e) where there is installed at the relevant premises a HCALCS, Compatible with the Version of the HCALCS Technical Specification in accordance with which that HCALCS is maintained by the licensee; and

- (f) where there is provided at the relevant premises an IHD, Compatible with the Version of the IHD Technical Specification in accordance with which that IHD is maintained by the licensee during the period which it is required to be maintained.
- 39.14 The requirement in paragraph 39.13 is subject to paragraphs 39.15, 39.17 and 39.18.
- 39.15 Where on any given date a Smart Metering System is maintained by the licensee such that it satisfies the requirements in the Metering Equipment Section of a particular Version of the SME Technical Specification, the licensee must take all reasonable steps to ensure that the Smart Metering System is not subsequently maintained by the licensee so as to satisfy the requirements of an earlier Version (as indicated by a lower Principal Version number and/or a lower Sub-Version number) of the SME Technical Specification notwithstanding that any such earlier Version may otherwise meet the requirements of paragraph 39.13.

#### **Replacement of Smart Metering Systems**

- 39.16 Paragraph 39.17 applies where:
- (a) paragraph 39.13 applies to the licensee in respect of a Smart Metering System at relevant premises;
  - (b) the licensee removes or arranges to remove that Smart Metering System from the relevant premises in its entirety; and
  - (c) the licensee installs or arranges to be installed at the relevant premises, by way of replacement (whether in accordance with the requirement of paragraph 39.6(a) or otherwise), a new Smart Metering System.
- 39.17 Where this paragraph applies the licensee must ensure that any Smart Metering System that is installed or arranged to be installed by it at the relevant premises, by way of replacement, satisfies the requirements in the Metering Equipment Section of a Version of the SME Technical Specification which is:
- (a) the same Version in respect of all devices (but excluding for this purpose a Communications Hub) comprised in the Smart Metering System; and
  - (b) compliant with paragraph 39.18.
- 39.18 A Version of the SME Technical Specification is compliant with this paragraph where it is not earlier than the latest Version in accordance with which the licensee was required to maintain the Smart Metering System previously installed at the relevant premises by virtue of paragraph 39.15 (and, for these purposes, an earlier Version of the SME Technical Specification is indicated by a lower Principal

Version and/or Sub-Version number, and a later Version by a higher Principal Version and/or Sub-Version number).";

- (b) renumber existing paragraphs 39.14 and 39.15 as paragraphs 39.19 and 39.20 respectively; and
- (c) in renumbered paragraph 39.19, after "requirement in" delete "paragraph 39.12" and insert "paragraph 39.13".

5 In standard condition 40 –

- (a) in paragraph 40.1 –
  - (i) in sub-paragraph (c), after "at the Domestic Premises" delete "from no later than the date the Smart Metering System is installed" and insert "on or after the HAN Date"; and
  - (ii) in sub-paragraph (d), after "at the premises" delete "from no later than that date" and insert ", on or as soon as reasonably practicable after the HAN Date,";

- (b) delete existing paragraph 40.13 and insert new paragraph 40.13 as follows –

"40.13 The licensee must take all reasonable steps to ensure that, at each Domestic Premises in respect of which it is the Relevant Electricity Supplier and at which an In-Home Display has been provided, the In-Home Display is at all times during the Relevant Period maintained so that it satisfies the requirements of a Version of the IHD Technical Specification which is:

- (a) within its Maintenance Validity Period; and
- (b) where there is installed at the relevant premises a Smart Metering System:
  - (i) Compatible with the Version of the SME Technical Specification which includes the Metering Equipment Section in accordance with which that Smart Metering System is maintained by the licensee; and
  - (ii) where the Smart Metering System includes a Communications Hub, Compatible with the Version of the CH Technical Specification in accordance with which that Communications Hub is maintained by the DCC.";
- (c) in paragraph 40.14, after "subject to" delete "paragraph 40.17" and insert "paragraphs 40.15 and 40.18";
- (d) after existing paragraph 40.14, insert new paragraph 40.15 as follows –

"40.15 Where on any given date during the Relevant Period an In-Home Display is maintained by the licensee such that it satisfies the requirements of a particular Version of the IHD Technical Specification, the licensee must take all reasonable steps to ensure that the In-Home Display is not subsequently maintained by the licensee so as to satisfy the requirements of an earlier

Version (as indicated by a lower Principal Version number and/or a lower Sub-Version number) of the IHD Technical Specification notwithstanding that any such earlier Version may otherwise meet the requirements of paragraph 40.13.";

- (e) renumber existing paragraphs 40.15 to 40.18 as paragraphs 40.16 to 40.19 respectively;
- (f) in renumbered paragraph 40.16, in sub-paragraph (b), after "minimum requirements of" delete "the IHD Technical Specification applicable at the date on which the In-Home Display was provided" and insert "any Version of the IHD Technical Specification with which it is required to be maintained in accordance with paragraph 40.13";
- (g) in renumbered paragraph 40.17, after "requirement in" delete "paragraph 40.15 is subject to paragraph 40.17" and insert "paragraph 40.16 is subject to paragraph 40.18";
- (h) in renumbered paragraph 40.18, after "Paragraphs 40.6, 40.13 and" delete "40.15" and insert "40.16"; and
- (i) in renumbered paragraph 40.19, delete the existing definition of "Relevant Period" and insert in its place a new definition of "Relevant Period" as follows –

**"Relevant Period**

means, in respect of a Smart Metering System installed on or after the Smart Metering Designated Date:

- (a) the period which commences on the date on which the Smart Metering System is installed at the Domestic Premises and ends 12 months after that date; or
- (b) where the HAN Date is a date that is later than the Installation Date of the Smart Metering System, the period which commences on the HAN Date and ends 12 months after that date."

6 In standard condition 41 –

- (a) in paragraph 41.9(a), after "minimum requirements of" delete "each version of the SME or IHD Technical Specification which is Valid" and insert "every Version of the SME or IHD Technical Specification which is within its Installation Validity Period"; and
- (b) delete existing paragraph 41.23 and insert new paragraph 41.23 as follows –

"41.23 In this condition any reference to 'installation' shall be read:

- (a) in the context of a Smart Metering System, as incorporating a reference to the establishment of the HAN and the making of a connection to the

SM WAN at Domestic Premises, and the words 'install', 'installed' and 'installing' shall be construed accordingly;

- (b) in the context of an In-Home Display, as incorporating a reference to the provision of that In-Home Display, and the words 'install', 'installed' and 'installing' shall be construed accordingly."

7 In standard condition 42, delete existing paragraph 42.16 and insert new paragraph 42.16 as follows –

"42.16 In this Condition:

- (a) any reference to Smart Metering System shall be read as incorporating a reference to any part of that system; and
- (b) in the context of a Smart Metering System any reference to 'installation' shall be read as incorporating a reference to the establishment of the HAN and the making of a connection to the SM WAN at Designated Premises of Micro Business Consumers, and the words 'install', 'installed' and 'installing' shall be construed accordingly."

8 In standard condition 49 –

- (a) in paragraph 49.7, after "subject to" delete "paragraphs 49.8 and 49.9" and insert "paragraphs 49.8, 49.9, 49.12, 49.13, 49.15, 49.16, 49.17 and 49.18";
- (b) after existing paragraph 49.7, insert new headings and new paragraphs 49.8 to 49.16 as follows –

**"Exception to SMS Operational Requirement – All Premises**

**Proactive Install and Leave**

49.8 The obligations in paragraph 49.4 do not apply in respect of a relevant premises where:

- (a) the Smart Metering System at the relevant premises:
  - (i) is installed or arranged to be installed by the licensee; and
  - (ii) meets the requirements of a Version of the SME Technical Specification, other than a Version with a Principal Version number of 1;
- (b) the Electricity Meter forming part of the Smart Metering System is:
  - (i) a New Electricity Meter; or
  - (ii) a Mandatory Replacement Electricity Meter; and
- (c) the SM WAN Coverage Database indicates that the SM WAN is not (or will not be) available in respect of the relevant premises on the Installation Date of the Smart Metering System but will be available in respect of such premises on a date that is prior to 1 January 2021.

- 49.9 The exception in paragraph 49.8 applies only until the date from which the SM WAN is available in respect of the relevant premises (as indicated by the SM WAN Coverage Database).
- 49.10 Where the exception in paragraph 49.8 applies in respect of a relevant premises, the licensee shall not take the steps described in paragraph 49.4(c) in respect of that relevant premises unless it ascertains, at any time during the 30 days prior to the Applicable Date, that the SM WAN Coverage Database indicates that the SM WAN is (or will be) available in respect of the relevant premises on the Applicable Date.
- 49.11 Paragraph 49.12 applies where:
- (a) pursuant to paragraph 49.10 the licensee takes, or attempts to take, the steps described in paragraph 49.4(c) on the Applicable Date; and
  - (b) the SM WAN is not available in respect of the relevant premises on the Applicable Date.
- 49.12 Where this paragraph applies, the licensee must:
- (a) as soon as reasonably practicable, and in accordance with the relevant provisions of the Smart Energy Code, notify the DCC that the SM WAN was not available in respect of the relevant premises on the Applicable Date; and
  - (b) where it has not taken the steps described in paragraph 49.4(c) in respect of that relevant premises prior to the Notified Date, take all reasonable steps to fulfil the obligation at paragraph 49.4(c) in respect of the relevant premises as soon as reasonably practicable after the Notified Date.

#### **Reactive Install and Leave**

- 49.13 The obligations in paragraph 49.4 do not apply in respect of a relevant premises where:
- (a) the Smart Metering System at the relevant premises:
    - (i) is installed or arranged to be installed by the licensee; and
    - (ii) meets the requirements of a Version of the SME Technical Specification, other than a Version with a Principal Version number of 1;
  - (b) the licensee ascertains, at any time during the 30 days prior to the Installation Date of the Smart Metering System, that the SM WAN Coverage Database indicates that the SM WAN is (or will be) available in respect of the relevant premises on the Installation Date; and
  - (c) the SM WAN is not available in respect of the relevant premises on the Installation Date.

- 49.14 Where the exception in paragraph 49.13 applies in respect of a relevant premises the licensee must, as soon as reasonably practicable and in accordance with the relevant provisions of the Smart Energy Code, notify the DCC that the SM WAN was not available in respect of the relevant premises on the Installation Date of the Smart Metering System.
- 49.15 The exception in paragraph 49.13 applies only until the Notified Date.
- 49.16 Where:
- (a) paragraph 49.13 applies in respect of a relevant premises; and
  - (b) the licensee has not taken the steps described in paragraph 49.4(c) in respect of that relevant premises prior to the Notified Date,  
  
the licensee must take all reasonable steps to fulfil the obligation at paragraph 49.4(c) in respect of the relevant premises as soon as reasonably practicable after the Notified Date.";
- (c) renumber existing paragraphs 49.8 to 49.17 as paragraphs 49.17 to 49.26 respectively;
  - (d) in renumbered paragraph 49.18, after "Subject to" delete "paragraph 49.10" and insert "paragraph 49.19";
  - (e) in renumbered paragraph 49.19, after "exceptions in" delete "paragraph 49.9" and insert "paragraph 49.18";
  - (f) in renumbered paragraph 49.21(a), after "with the requirement of" delete "paragraph 49.14" and insert "paragraph 49.23";
  - (g) in renumbered paragraph 49.22, after "obligation in" delete "paragraph 49.12 is subject to paragraph 49.16" and insert "paragraph 49.21 is subject to paragraph 49.25";
  - (h) in renumbered paragraph 49.23 –
    - (i) after "Subject to" delete "paragraph 49.15" and insert "paragraph 49.24"; and
    - (ii) in sub-paragraph (b), after "the requirements of" delete "the version of the IHD Technical Specification with which the In-Home Display was compliant at the date on which that In Home Display was provided to the Domestic Customer" and insert "the Version of the IHD Technical Specification in accordance with which the In-Home Display is maintained pursuant to the requirements of paragraph 40.13 of standard condition 40 (Provision of an In-Home Display)";
  - (i) in renumbered paragraph 49.25, after "the relevant IHD premises" –
    - (i) delete "was not installed or arranged to be installed by the licensee, the obligation in paragraph 49.12 applies only from such date as is specified in a direction issued by the Secretary of State under this paragraph."; and
    - (ii) insert ":" and new sub-paragraphs (a) and (b) as follows –

- "(a) was not installed or arranged to be installed by the licensee, the obligation in paragraph 49.21 applies only from such date as is specified in a direction issued by the Secretary of State under this paragraph;
  - (b) was installed or arranged to be installed by the licensee, the obligation in paragraph 49.21 applies from the date the licensee is required to fulfil the obligations in paragraph 49.4(c)."; and
- (j) in renumbered paragraph 49.26 –
- (i) delete the existing definition of "Relevant Period";
  - (ii) insert in alphabetical order the following new definitions –

**"Applicable Date** means, in respect of a relevant premises, the date on which the licensee arranges to fulfil the obligation in paragraph 49.4(c).

**Mandatory Replacement Electricity Meter** means an Electricity Meter that replaces an Electricity Meter previously installed at the relevant premises (the 'first meter') where the replacement of the first meter is required for the purposes of complying with any statutory requirement or any provision (other than a provision in standard condition 39) of an Electricity Supply Licence.

**New Electricity Meter** has the meaning given to it in standard condition 39 (Smart Metering System – Roll-out, Installation and Maintenance).

**Notified Date** means, in respect of a relevant premises, the date the licensee receives confirmation from the DCC that the SM WAN is available in respect of the relevant premises.

**Relevant Period** means:

- (a) the period which commences on the Installation Date of the Smart Metering System at the relevant IHD premises and ends 12 months after that date; or
- (b) where the HAN Date is later than the Installation Date of the Smart Metering System, the period which commences on the HAN Date and ends 12 months after that date.";



and

- (iii) in the definition of "Customer Information", after "given in" delete "paragraph 49.11" and insert "paragraph 49.20".

9 In standard condition 50 –

(a) in paragraph 50.3 –

- (i) after "the New Supplier or a" insert "Relevant"; and
- (ii) delete existing sub-paragraph (a) and insert new sub-paragraph (a) as follows –

"(a) a Notice to the New Supplier giving:

- (i) the name of each Relevant Meter Asset Provider;
- (ii) except where such information is available to the New Supplier by virtue of the information sent to it in respect of the Supplier Transfer in accordance with any Industry Code, the contact details of each Relevant Meter Asset Provider; and
- (iii) details of the Relevant Apparatus provided by each Relevant Meter Asset Provider,

(a **MAP Notice**);";

- (b) in paragraph 50.10, after "ensure that the Replacement Apparatus" delete "satisfies the requirements of a version of the SME Technical Specification which is Valid on the date the Replacement Apparatus is installed" and insert "forms part of a Smart Metering System at the relevant premises at the time of its installation"; and
- (c) in paragraph 50.13, in the definition of "Relevant Meter Asset Provider", after "means" delete "the" and insert "a".

10 In standard condition 51, delete existing paragraph 51.8 and insert new paragraph 51.8 as follows –

"51.8 The requirements in paragraph 51.4 do not apply:

(a) where:

(i) either:

- (A) the Smart Metering System at the relevant premises was not installed or arranged to be installed by the licensee; or
- (B) the licensee replaces any apparatus forming part of the Smart Metering System pursuant to paragraph 50.9 of standard condition 50 (Smart Metering – Continuation of Arrangements on Change of Supplier); and

- (ii) a connection that enables the exchange of information between the Smart Metering System and the licensee's Communications System has not at any time been established (whether directly to the licensee's Communications System or indirectly through the DCC's Communications System); or

(b) where:

- (i) the Smart Metering System at the relevant premises was installed or arranged to be installed by the licensee; and
- (ii) the obligations in paragraph 49.4 of standard condition 49 (Smart Metering Systems and In-Home Displays – Operational Requirements) do not apply in respect of the relevant premises by virtue of the exception at either paragraph 49.8 or paragraph 49.13 of that standard condition."

11 In standard condition 52, delete the headings "**Requirements on Installation**" and "**Duties after installation**" and existing paragraphs 52.1 to 52.4 and insert the following new heading and new paragraphs 52.1 to 52.6 –

**PPMID**

52.1 Where the licensee is the Relevant Electricity Supplier at any Domestic Premises or Designated Premises at which there is installed a Prepayment Meter Interface Device, it must take all reasonable steps to ensure that the Prepayment Meter Interface Device installed at the premises is maintained so that at all times, where it is connected through the HAN to a device forming part of the Smart Metering System at the premises, it satisfies the requirements of a Version of the PPMID Technical Specification which is:

- (a) within its Maintenance Validity Period;
- (b) the same Version in respect of all devices comprised within that Prepayment Meter Interface Device;
- (c) Compatible with the Version of the SME Technical Specification which includes the Metering Equipment Section in accordance with which that Smart Metering System is maintained by the licensee; and
- (d) where the Smart Metering System at the premises includes a Communications Hub, Compatible with the Version of the CH Technical Specification in accordance with which that Communications Hub is maintained by the DCC.

52.2 The requirement in paragraph 52.1 is subject to paragraph 52.3.

52.3 Where on any given date a Prepayment Meter Interface Device is maintained by the licensee such that it satisfies the requirements of a particular Version of the PPMID Technical Specification, the licensee must take all reasonable steps to ensure that the Prepayment Meter Interface Device is not subsequently maintained by the licensee so as to satisfy the requirements of an earlier Version (as indicated by a lower Principal Version number and/or a lower Sub-Version number) of the PPMID Technical

Specification notwithstanding that any such earlier Version may otherwise meet the requirements of paragraph 52.1.

### **HCALCS**

52.4 Where the licensee is the Relevant Electricity Supplier at any Domestic Premises or Designated Premises at which there is installed a HAN Connected Auxiliary Load Control Switch, it must take all reasonable steps to ensure that the HAN Connected Auxiliary Load Control Switch installed at the premises is maintained so that at all times, where it is connected through the HAN to a device forming part of the Smart Metering System at the premises, it satisfies the requirements of a Version of the HCALCS Technical Specification which is:

- (a) within its Maintenance Validity Period;
- (b) the same Version in respect of all devices comprised within that HAN Connected Auxiliary Load Control Switch;
- (c) Compatible with the Version of the SME Technical Specification which includes the Metering Equipment Section in accordance with which that Smart Metering System is maintained by the licensee;
- (d) where the Smart Metering System at the premises includes a Communications Hub, Compatible with the Version of the CH Technical Specification in accordance with which that Communications Hub is maintained by the DCC.

52.5 The requirement in paragraph 52.4 is subject to paragraph 52.6.

52.6 Where on any given date a HAN Connected Auxiliary Load Control Switch is maintained by the licensee such that it satisfies the requirements of a particular Version of the SME Technical Specification, the licensee must take all reasonable steps to ensure that the HAN Connected Auxiliary Load Control Switch is not subsequently maintained by the licensee so as to satisfy the requirements of an earlier Version (as indicated by a lower Principal Version number and/or a lower Sub-Version number) of the HCALCS Technical Specification notwithstanding that any such earlier Version may otherwise meet the requirements of paragraph 52.4."

12 Delete existing standard condition 53 and insert new standard condition 53 as "**Condition 53: Not Used**".

### **Modifications to the standard conditions of gas supply licences**

13 The standard conditions of gas supply licences granted or treated as granted under section 7A(1) of the Gas Act 1986 are modified, in accordance with paragraphs 14 to 23 below, with effect from the day after the day on which this instrument is made.

14 In standard condition 1 –

- (a) delete the existing definitions of "HAN Interface", "IHD Technical Specification", "In-Home Display (or IHD)", "PPMID Technical Specification", "Prepayment Meter

Interface Device (or PPMID)", "Smart Metering System", "SME Technical Specification", and "Valid"; and

(b) insert in alphabetical order the following new definitions –

- "Compatible"** in respect of a Version of a Technical Specification, means compatible, in accordance with the meaning given to that expression in Section F2.12 of the Smart Energy Code, with a Version of any other Technical Specification as identified in the matrix created and published by the SEC Panel pursuant to Section F2.11 of the Smart Energy Code.
- HAN Date** means, in respect of each Domestic Premises, the date on which the HAN first extends into a part of the premises that is located within the main dwelling area of the premises.
- HAN Interface** means in respect of a Smart Metering System a HAN Interface:
- (a) having the meaning given to that term in the Metering Equipment Section of the Version of the SME Technical Specification in accordance with which the Smart Metering System is maintained pursuant to the requirements of standard condition 33 (Smart Metering System – Roll-out, Installation and Maintenance); and
  - (b) which is operating at a frequency, and using the communications standards applicable to that frequency, as specified in that Version of the SME Technical Specification.
- IHD Technical Specification** means the part(s) of the SME Technical Specification which:
- (a) identifies itself as such; and
  - (b) applies in respect of an In-Home Display,
- and any reference to a "Version" in the context of an IHD Technical Specification shall be read as a reference to the Version of the SME Technical Specification in which the IHD Technical Specification is included.
- In-Home Display (or IHD)** means a device provided at premises which, on the date on which it is provided:
- (a) is a device of a type identified in a Version of the IHD Technical Specification which is within its Installation Validity Period on that

	date; and
	(b) as a minimum, has the functional capability specified by and complies with the other requirements of that Version of the IHD Technical Specification.
<b>Installation Validity Period</b>	has the meaning given to it in the Smart Energy Code.
<b>Maintenance Validity Period</b>	has the meaning given to it in the Smart Energy Code.
<b>Metering Equipment Section</b>	means the part(s) of the SME Technical Specification identified in that document as applying to 'Gas Smart Metering Equipment' (or in respect of any Version of the SME Technical Specification with a Principal Version number of 1, identified as applying to a 'Gas Smart Metering System').
<b>PPMID Technical Specification</b>	means the part(s) of the SME Technical Specification which: <ul style="list-style-type: none"> <li>(a) identifies itself as such; and</li> <li>(b) applies in respect of a PPMID,</li> </ul> and any reference to a "Version" in the context of a PPMID Technical Specification shall be read as a reference to the Version of the SME Technical Specification in which the PPMID Technical Specification is included.
<b>Prepayment Meter Interface Device (or PPMID)</b>	means a device installed at any Domestic Premises or Designated Premises which on the date it is installed: <ul style="list-style-type: none"> <li>(a) comprises a device which: <ul style="list-style-type: none"> <li>(i) is capable of connecting through the HAN to a device forming part of a Smart Metering System; and</li> <li>(ii) where such a connection is in place, replicates the functionality provided by or on a Gas Meter forming part of that Smart Metering System for the purposes of facilitating the use, by the Customer, of the Gas Meter as a Prepayment Meter; and</li> </ul> </li> <li>(b) may also comprise one or more associated or ancillary devices, installed or provided for the purposes of the supply of gas, identified in a Version (and where there is more than one such device, in the same Version) of the PPMID</li> </ul>

Technical Specification which is within its Maintenance Validity Period on the date of installation.

<b>Principal Version</b>	has the meaning given to it in the Smart Energy Code.
<b>Relevant Communications Hub</b>	means a Communications Hub which on the date it is installed at the Domestic Premises complies with a Version of the CH Technical Specification which is within its Installation Validity Period.
<b>Smart Metering System</b>	<p>means, in respect of any Domestic Premises or Designated Premises, a system installed at such premises for the purposes of the supply of gas to those premises which on the Installation Date:</p> <ul style="list-style-type: none"><li>(a) consists of a Gas Meter and any associated or ancillary devices identified in the Metering Equipment Section of a Version of the SME Technical Specification which is:<ul style="list-style-type: none"><li>(i) within its Installation Validity Period; and</li><li>(ii) the same Version in respect of all such devices;</li></ul></li><li>(b) as a minimum, has the functional capability specified by and complies with the other requirements of that Version of the SME Technical Specification; and</li><li>(c) where the premises is a Domestic Premises, except where that Version of the SME Technical Specification has a Principal Version number of 1, includes a Relevant Communications Hub,</li></ul> <p>and where such a system installed at a Domestic Premises or Designated Premises is a Smart Metering System on the Installation Date it shall continue to be a Smart Metering System until such date as it is removed from the premises in its entirety.</p>
<b>SME Technical Specification</b>	means the document set out in Schedule 9 of the Smart Energy Code.
<b>SM WAN</b>	has the meaning given to it in the Smart Energy Code.
<b>SM WAN Coverage Database</b>	has the meaning given to it in the Smart Energy Code.
<b>Sub-Version</b>	has the meaning given to it in the Smart Energy Code.

**Technical Specification**

means:

- (a) in respect of a Smart Metering System, the Metering Equipment Section of the SME Technical Specification;
- (b) in respect of a Communications Hub, the CH Technical Specification;
- (c) in respect of an In-Home Display, the IHD Technical Specification; and
- (d) in respect of a Prepayment Meter Interface Device, the PPMID Technical Specification.

**Version**

has the meaning given to it in the Smart Energy Code."

15 In standard condition 33 –

(a) after existing paragraph 33.11 –

- (i) in the heading following the heading "**PART C – DUTIES AFTER INSTALLATION AND DEFINITIONS**", after "**The duties after installation**" insert "**– maintenance and replacement of Smart Metering Systems**"; and
- (ii) delete existing paragraphs 33.12 and 33.13 and insert new paragraphs 33.12 to 33.18 as follows –

"33.12 Paragraphs 33.13 to 33.18 apply to the licensee in respect of each Domestic Premises and Designated Premises at which:

- (a) it is the Relevant Gas Supplier; and
  - (b) there is installed a Smart Metering System,
- (the **relevant premises**).

**Maintenance of Smart Metering Systems**

33.13 Where this paragraph applies, the licensee must take all reasonable steps to ensure that the Smart Metering System at the relevant premises is maintained so that at all times it satisfies the requirements in the Metering Equipment Section of a Version of the SME Technical Specification which is:

- (a) within its Maintenance Validity Period;
- (b) the same Version in respect of all devices (but excluding for this purpose a Communications Hub) comprised within that Smart Metering System;

- (c) where the Smart Metering System at the premises includes a Communications Hub, Compatible with the Version of the CH Technical Specification in accordance with which that Communications Hub is maintained by the DCC;
- (d) where there is installed at the relevant premises a PPMID, Compatible with the Version of the PPMID Technical Specification in accordance with which that PPMID is maintained by the licensee; and
- (e) where there is provided at the relevant premises an IHD, Compatible with the Version of the IHD Technical Specification in accordance with which that IHD is maintained by the licensee during the period which it is required to be maintained.

33.14 The requirement in paragraph 33.13 is subject to paragraphs 33.15, 33.17 and 33.18.

33.15 Where on any given date a Smart Metering System is maintained by the licensee such that it satisfies the requirements in the Metering Equipment Section of a particular Version of the SME Technical Specification, the licensee must take all reasonable steps to ensure that the Smart Metering System is not subsequently maintained by the licensee so as to satisfy the requirements of an earlier Version (as indicated by a lower Principal Version number and/or a lower Sub-Version number) of the SME Technical Specification notwithstanding that any such earlier Version may otherwise meet the requirements of paragraph 33.13.

### **Replacement of Smart Metering Systems**

33.16 Paragraph 33.17 applies where:

- (a) paragraph 33.13 applies to the licensee in respect of a Smart Metering System at relevant premises;
- (b) the licensee removes or arranges to remove that Smart Metering System from the relevant premises in its entirety; and
- (c) the licensee installs or arranges to be installed at the relevant premises, by way of replacement (whether in accordance with the requirement of paragraph 33.6(a) or otherwise), a new Smart Metering System.

33.17 Where this paragraph applies the licensee must ensure that any Smart Metering System that is installed or arranged to be installed by it at the relevant premises, by way of replacement, satisfies the requirements in the Metering Equipment Section of a Version of the SME Technical Specification which is:



- (a) the same Version in respect of all devices (but excluding for this purpose a Communications Hub) comprised in the Smart Metering System; and
- (b) compliant with paragraph 33.18.

33.18 A Version of the SME Technical Specification is compliant with this paragraph where it is not earlier than the latest Version in accordance with which the licensee was required to maintain the Smart Metering System previously installed at the relevant premises by virtue of paragraph 33.15 (and, for these purposes, an earlier Version of the SME Technical Specification is indicated by a lower Principal Version and/or Sub-Version number, and a later Version by a higher Principal Version and/or Sub-Version number).";

- (b) renumber existing paragraphs 33.14 and 33.15 as paragraphs 33.19 and 33.20 respectively; and
- (c) in renumbered paragraph 33.19, after "requirement in" delete "paragraph 33.12" and insert "paragraph 33.13".

16 In standard condition 34 –

- (a) in paragraph 34.1 –
  - (i) in sub-paragraph (c), after "at the Domestic Premises" delete "from no later than the date the Smart Metering System is installed" and insert "on or after the HAN Date"; and
  - (ii) in sub-paragraph (d), after "at the premises" delete "from no later than that date" and insert ", on or as soon as reasonably practicable after the HAN Date,";
- (b) delete existing paragraph 34.13 and insert new paragraph 34.13 as follows –
 

"34.13 The licensee must take all reasonable steps to ensure that at each Domestic Premises in respect of which it is the Relevant Gas Supplier and at which an In-Home Display has been provided, the In-Home Display is at all times during the Relevant Period maintained so that it satisfies the requirements of a Version of the IHD Technical Specification which is:

  - (a) within its Maintenance Validity Period; and
  - (b) where there is installed at the relevant premises a Smart Metering System:
    - (i) Compatible with the Version of the SME Technical Specification which includes the Metering Equipment Section in accordance with which that Smart Metering System is maintained by the licensee; and

- (ii) where the Smart Metering System includes a Communications Hub, Compatible with the Version of the CH Technical Specification in accordance with which that Communications Hub is maintained by the DCC.";
- (c) in paragraph 34.14, after "subject to" delete "paragraph 34.17" and insert "paragraphs 34.15 and 34.18";
- (d) after existing paragraph 34.14, insert new paragraph 34.15 as follows –
 

"34.15 Where on any given date during the Relevant Period an In-Home Display is maintained by the licensee such that it satisfies the requirements of a particular Version of the IHD Technical Specification, the licensee must take all reasonable steps to ensure that the In-Home Display is not subsequently maintained by the licensee so as to satisfy the requirements of an earlier Version (as indicated by a lower Principal Version number and/or a lower Sub-Version number) of the IHD Technical Specification notwithstanding that any such earlier Version may otherwise meet the requirements of paragraph 34.13.";
- (e) renumber existing paragraphs 34.15 to 34.18 as paragraphs 34.16 to 34.19 respectively;
- (f) in renumbered paragraph 34.16, in sub-paragraph (b), after "minimum requirements of" delete "the IHD Technical Specification applicable at the date on which the In-Home Display was provided" and insert "any Version of the IHD Technical Specification with which it is required to be maintained in accordance with paragraph 34.13";
- (g) in renumbered paragraph 34.17, after "requirement in" delete "paragraph 34.15 is subject to paragraph 34.17" and insert "paragraph 34.16 is subject to paragraph 34.18";
- (h) in renumbered paragraph 34.18, after "Paragraphs 34.6, 34.13 and" delete "34.15" and insert "34.16"; and
- (i) in renumbered paragraph 34.19, delete the existing definition of "Relevant Period" and insert in its place a new definition of "Relevant Period" as follows –

**"Relevant Period**

means, in respect of a Smart Metering System installed on or after the Smart Metering Designated Date:

- (a) the period which commences on the date on which the Smart Metering System is installed at the Domestic Premises and ends 12 months after that date; or
- (b) where the HAN Date is a date that is later than the Installation Date of the Smart Metering System, the period which commences on the HAN Date and ends 12

months after that date."

17 In standard condition 35 –

(a) in paragraph 35.9, in sub-paragraph (a), after "minimum requirements of" delete "each version of the SME or IHD Technical Specification which is Valid" and insert "every Version of the SME or IHD Technical Specification which is within its Installation Validity Period"; and

(b) delete existing paragraph 35.23 and insert a new paragraph 35.23 as follows –

"35.23 In this condition any reference to 'installation' shall be read:

(a) in the context of a Smart Metering System, as incorporating a reference to the establishment of the HAN and the making of a connection to the SM WAN at Domestic Premises, and the words 'install', 'installed' and 'installing' shall be construed accordingly;

(b) in the context of an In-Home Display, as incorporating a reference to the provision of that In-Home Display, and the words 'install', 'installed' and 'installing' shall be construed accordingly."

18 In standard condition 36, delete existing paragraph 36.16 and insert new paragraph 36.16 as follows –

"36.16 In this Condition:

(a) any reference to Smart Metering System shall be read as incorporating a reference to any part of that system; and

(b) in the context of a Smart Metering System any reference to 'installation' shall be read as incorporating a reference to the establishment of the HAN and the making of a connection to the SM WAN at Designated Premises of Micro Business Consumers, and the words 'install', 'installed' and 'installing' shall be construed accordingly."

19 In standard condition 43 –

(a) in paragraph 43.7, after "subject to" delete "paragraphs 43.8 and 43.9" and insert "paragraphs 43.8, 43.9, 43.12, 43.13, 43.15, 43.16, 43.17 and 43.18";

(b) after existing paragraph 43.7, insert new headings and new paragraphs 43.8 to 43.16 as follows –

**"Exception to SMS Operational Requirement – All Premises**

**Proactive Install and Leave**

43.8 The obligations in paragraph 43.4 do not apply in respect of a relevant premises where:

(a) the Smart Metering System at the relevant premises:

(i) is installed or arranged to be installed by the licensee; and

- (ii) meets the requirements of a Version of the SME Technical Specification, other than a Version with a Principal Version number of 1;
  - (b) the Gas Meter forming part of the Smart Metering System is:
    - (i) a New Gas Meter; or
    - (ii) a Mandatory Replacement Gas Meter; and
  - (c) the SM WAN Coverage Database indicates that the SM WAN is not (or will not be) available in respect of the relevant premises on the Installation Date of the Smart Metering System but will be available in respect of such premises on a date that is prior to 1 January 2021.
- 43.9 The exception in paragraph 43.8 applies only until the date from which the SM WAN is available in respect of the relevant premises (as indicated by the SM WAN Coverage Database).
- 43.10 Where the exception in paragraph 43.8 applies in respect of a relevant premises the licensee shall not take the steps described in paragraph 43.4(c) in respect of that relevant premises unless it ascertains, at any time during the 30 days prior to the Applicable Date, that the SM WAN Coverage Database indicates that the SM WAN is (or will be) available in respect of the relevant premises on the Applicable Date.
- 43.11 Paragraph 43.12 applies where:
- (a) pursuant to paragraph 43.10 the licensee takes, or attempts to take, the steps described in paragraph 43.4 (c) on the Applicable Date; and
  - (b) the SM WAN is not available in respect of the relevant premises on the Applicable Date.
- 43.12 Where this paragraph applies, the licensee must:
- (a) as soon as reasonably practicable, and in accordance with the relevant provisions of the Smart Energy Code, notify the DCC that the SM WAN was not available in respect of the relevant premises on the Applicable Date; and
  - (b) where it has not taken the steps described in paragraph 43.4(c) in respect of that relevant premises prior to the Notified Date, take all reasonable steps to fulfil the obligation at paragraph 49.4(c) in respect of the relevant premises as soon as reasonably practicable after the Notified Date.

**Reactive Install and Leave**

- 43.13 The obligations in paragraph 43.4 do not apply in respect of a relevant premises where:

- (a) the Smart Metering System at the relevant premises:
  - (i) is installed or arranged to be installed by the licensee; and
  - (ii) meets the requirements of a Version of the SME Technical Specification, other than a Version with a Principal Version number of 1;
- (b) the licensee ascertains, at any time during the 30 days prior to the Installation Date of the Smart Metering System, that the SM WAN Coverage Database indicates that the SM WAN is (or will be) available in respect of the relevant premises on the Installation Date; and
- (c) the SM WAN is not available in respect of the relevant premises on the Installation Date.

43.14 Where the exception in paragraph 43.13 applies in respect of a relevant premises the licensee must, as soon as reasonably practicable and in accordance with the relevant provisions of the Smart Energy Code, notify the DCC that the SM WAN was not available in respect of the relevant premises on the Installation Date of the Smart Metering System.

43.15 The exception in paragraph 43.13 applies only until the Notified Date.

43.16 Where:

- (a) paragraph 43.13 applies in respect of a relevant premises; and
- (b) the licensee has not taken the steps described in paragraph 43.4(c) in respect of that relevant premises prior to the Notified Date,

the licensee must take all reasonable steps to fulfil the obligation at paragraph 43.4(c) in respect of the relevant premises as soon as reasonably practicable after the Notified Date.";

- (c) renumber existing paragraphs 43.8 to 43.17 as paragraphs 43.17 to 43.26 respectively;
- (d) in renumbered paragraph 43.18, after "Subject to" delete "paragraph 43.10" and insert "paragraph 43.19";
- (e) in renumbered paragraph 43.19, after "exceptions in" delete "paragraph 43.9" and insert "paragraph 43.18";
- (f) in renumbered paragraph 43.21(a), after "with the requirement of" delete "paragraph 43.14" and insert "paragraph 43.23";
- (g) in renumbered paragraph 43.22, after "obligation in" delete "paragraph 43.12 is subject to paragraph 43.16" and insert "paragraph 43.21 is subject to paragraph 43.25";
- (h) in renumbered paragraph 43.23 –
  - (i) after "Subject to" delete "paragraph 43.15" and insert "paragraph 43.24"; and

- (ii) in sub-paragraph (b), after "the requirements of" delete "the version of the IHD Technical Specification with which the In-Home Display was compliant at the date on which that In-Home Display was provided to the Domestic Customer" and insert "the Version of the IHD Technical Specification in accordance with which the In-Home Display is maintained pursuant to the requirements of paragraph 34.13 of standard condition 34 (Provision of an In-Home Display)";
- (i) in renumbered paragraph 43.25, after "the relevant IHD premises" –
    - (i) delete "was not installed or arranged to be installed by the licensee, the obligation in paragraph 43.10 applies only from such date as is specified in a direction issued by the Secretary of State under this paragraph."; and
    - (ii) insert ":" and new sub-paragraphs (a) and (b) as follows –
      - "(a) was not installed or arranged to be installed by the licensee, the obligation in paragraph 43.21 applies only from such date as is specified in a direction issued by the Secretary of State under this paragraph;
      - (b) was installed or arranged to be installed by the licensee, the obligation in paragraph 43.21 applies from the date the licensee is required to fulfil the obligations in paragraph 43.4(c)."; and
- (j) in renumbered paragraph 43.26 –
    - (i) delete the existing definition of "Relevant Period";
    - (ii) insert in alphabetical order the following new definitions –
 

<b>"Applicable Date</b>	means, in respect of a relevant premises, the date on which the licensee arranges to fulfil the obligation in paragraph 43.4(c).
<b>Mandatory Replacement Gas Meter</b>	means a Gas Meter that replaces a Gas Meter previously installed at the relevant premises (the 'first meter') where the replacement of the first meter is required for the purposes of complying with any statutory requirement or any provision (other than a provision in standard condition 33) of a Gas Supply Licence.
<b>New Gas Meter</b>	has the meaning given to it in standard condition 33 (Smart Metering System – Roll-out, Installation and Maintenance).
<b>Notified Date</b>	means, in respect of a relevant premises, the date the licensee receives confirmation from the DCC that the SM WAN is available in respect of the relevant premises.

**Relevant Period** means:

- (a) the period which commences on the Installation Date of the Smart Metering System at the relevant IHD premises and ends 12 months after that date; or
- (b) where the HAN Date is later than the Installation Date of the Smart Metering System, the period which commences on the HAN Date and ends 12 months after that date."; and
- (iii) in the definition of "Customer Information", after "given in" delete "paragraph 43.11" and insert "paragraph 43.20".

20 In standard condition 44 –

- (a) in paragraph 44.3 –
  - (i) after "the New Supplier or a" insert "Relevant"; and
  - (ii) delete existing sub-paragraph (a) and insert new sub-paragraph (a) as follows –
    - "(a) a Notice to the New Supplier giving:
      - (i) the name of each Relevant Meter Asset Provider;
      - (ii) except where such information is available to the New Supplier by virtue of the information sent to it in respect of the Supplier Transfer in accordance with any industry code, the contact details of each Relevant Meter Asset Provider; and
      - (iii) details of the Relevant Apparatus provided by each Relevant Meter Asset Provider,
- (a **MAP Notice**);";
- (b) in paragraph 44.10, after "ensure that the Replacement Apparatus" delete "satisfies the requirements of a version of the SME Technical Specification which is Valid on the date the Replacement Apparatus is installed" and insert "forms part of a Smart Metering System at the relevant premises at the time of its installation"; and
- (c) in paragraph 44.13, in the definition of "Relevant Meter Asset Provider", after "means" delete "the" and insert "a".

21 In standard condition 45, delete existing paragraph 45.7 and insert new paragraph 45.7 as follows -

"45.7 The requirements in paragraph 45.3 do not apply:

- (a) where:
  - (i) either:
    - (A) the Smart Metering System at the relevant premises was not installed or arranged to be installed by the licensee; or
    - (B) the licensee replaces any apparatus forming part of the Smart Metering System pursuant to paragraph 44.9 of standard condition 44 (Smart Metering – Continuation of Arrangements on Change of Supplier); and
  - (ii) a connection that enables the exchange of information between the Smart Metering System and the licensee's Communications System has not at any time been established (whether directly to the licensee's Communications System or indirectly through the DCC's Communications System); or
- (b) where:
  - (i) the Smart Metering System at the relevant premises was installed or arranged to be installed by the licensee; and
  - (ii) the obligations in paragraph 43.4 of standard condition 43 (Smart Metering Systems and In-Home Displays – Operational Requirements) do not apply in respect of the relevant premises by virtue of the exception at either paragraph 43.8 or paragraph 43.13 of that standard condition."

22 In standard condition 46, delete the headings "**Requirements on Installation**" and "**Duties after installation**" and existing paragraphs 46.1 and 46.2 and insert the following new heading and new paragraphs 46.1 to 46.3 –

**PPMID**

46.1 Where the licensee is the Relevant Gas Supplier at any Domestic Premises or Designated Premises at which there is installed a Prepayment Meter Interface Device, it must take all reasonable steps to ensure that the Prepayment Meter Interface Device installed at the premises is maintained so that at all times, where it is connected through the HAN to a device forming part of the Smart Metering System at the premises, it satisfies the requirements of a Version of the PPMID Technical Specification which is:

- (a) within its Maintenance Validity Period;
- (b) the same Version in respect of all devices comprised within that Prepayment Meter Interface Device;
- (c) Compatible with the Version of the SME Technical Specification which includes the Metering Equipment Section in accordance with which that Smart Metering System is maintained by the licensee; and



- (d) where the Smart Metering System at the premises includes a Communications Hub, Compatible with the Version of the CH Technical Specification in accordance with which that Communications Hub is maintained by the DCC.

46.2 The requirement in paragraph 46.1 is subject to paragraph 46.3.

46.3 Where on any given date a Prepayment Meter Interface Device is maintained by the licensee such that it satisfies the requirements of a particular Version of the PPMID Technical Specification, the licensee must take all reasonable steps to ensure that the Prepayment Meter Interface Device is not subsequently maintained by the licensee so as to satisfy the requirements of an earlier Version (as indicated by a lower Principal Version number and/or a lower Sub-Version number) of the PPMID Technical Specification notwithstanding that any such earlier Version may otherwise meet the requirements of paragraph 46.1."

- 23 Delete existing standard condition 47 and insert new standard condition 47 as "**Condition 47: Not Used**".

#### **Modifications to the Smart Energy Code**

24 The Smart Energy Code is modified, in accordance with paragraphs 25 to 35 below, with effect from the day after the day on which this instrument is made.

25 In Section A –

- (a) in Section A1, in Section A1.1 –

- (i) delete the existing definitions of "NSA Suite B Cryptographic Algorithm", "Personnel Authentication Certificate", "Personnel Authentication Certificate Application", "Significant Code Review Phase", "Smart Card Token", "User Systems", and "Valid Technical Specification";

- (ii) insert in alphabetical order the following new definitions –

**"Applicability Period** has the meaning given to that expression in Section A3.26(d) (GB Companion Specification and CPA Security Characteristics).

**Authority-Led Modification Report** has the meaning given to that expression in Section D9A.5 (Authority-Led Modification Report).

**Authority-Led Variations** means variations to this Code proposed by the Authority pursuant to a direction under Section D9A (Authority-Led Variations).

**CPA Security Characteristics** means the documents published from time to time on the CESG website that set out the features, testing and deployment requirements necessary to obtain a CPA Certificate in respect of one or more of the following:

- (a) 'Gas Smart Metering Equipment';
- (b) 'Electricity Smart Metering Equipment';
- (c) 'Communications Hubs';
- (d) 'HAN Connected Auxiliary Load Control Switches'.

**DUIS XML Schema** means, in relation to any version of the DCC User Interface Specification, the version of the DUIS XML Schema contained within it, as specified in the defined term 'DUIS XML Schema' in that version of the DCC User Interface Specification.

**IKI File Signing Certificate** means an IKI Certificate issued by the IKI File Signing Certification Authority.

**IKI File Signing Certification Authority** has the meaning given to that expression in the IKI Certificate Policy.

**Installation End Date** has the meaning given to that expression in Section A3.12(b) (The Installation Validity Period).

**Installation Start Date** has the meaning given to that expression in Section A3.12(a) (The Installation Validity Period).

**Installation Validity Period** has the meaning given to that expression in Section A3.11 (The Installation Validity Period).

**Maintenance End Date** has the meaning given to that expression in Section A3.16(b) (The Maintenance Validity Period).

**Maintenance Start Date** has the meaning given to that expression in Section A3.16(a) (The Maintenance Validity Period).

**Maintenance Validity Period** has the meaning given to that expression in Section A3.15 (The Maintenance Validity Period).

**Parse and Correlate Applicability Matrix** has the meaning given to that expression in Section A3.35 (The Parse and Correlate Applicability Matrix).

**Personnel Authentication Certificate** has the meaning given to that expression in Annex A of the DCCKI Certificate Policy.

**Personnel Authentication** has the meaning given to that expression in Annex A of the DCCKI Certificate Policy.

## **Certificate Application**

### **Principal Version**

in relation to:

- (a) a Technical Specification, has the meaning given to that expression in Section A3.5(a) (Versions of the Technical Specifications); and
- (b) the GBCS or CPA Security Characteristics, has the equivalent meaning, in accordance with and subject to the provisions of Section A3.23 (GB Companion Specification and CPA Security Characteristics).

### **RDP Entry Process Tests**

has the meaning given to that expression in Section E4.2 (RDP Entry Process Tests).

### **SEC Variation Testing Approach Documents**

means the SEC Subsidiary Documents set out in Appendix [TBC].

### **Significant Code Review Phase**

means, in respect of each Significant Code Review, the period from the date on which the Authority issues the notice stating that the matter is to constitute a Significant Code Review (including where the Authority issues a direction under Section D5.7 (Significant Code Review: Backstop Direction) or proposes an Authority-Led Variation by issuing a direction under Section D9A.2 (Authority Power to Develop a Proposed Variation)), and ending on the earlier of:

- (a) the date on which the Authority, or DCC at the direction of the Authority, submits a Modification Proposal in respect of any variations arising out of a Significant Code Review;
- (b) where the Authority has proposed an Authority-Led Variation, the date on which the Authority makes a decision in accordance with Section D9A.11 (Authority Decision);
- (c) the date on which the Authority issues a conclusion that no modification is required to this Code as a result of the Significant Code Review; or
- (d) the date 28 days after the date on which the Authority issues its conclusion document in

respect of the Significant Code Review.

**Smart Card Token**

has the meaning given to that expression in Annex A of the DCCKI Certificate Policy.

**Sub-Version**

in relation to:

- (a) a Technical Specification, has the meaning given to that expression in Section A3.5(b) (Versions of the Technical Specifications); and
- (b) the GBCS or CPA Security Characteristics, has the equivalent meaning, in accordance with and subject to the provisions of Section A3.23 (GB Companion Specification and CPA Security Characteristics).

**TS Applicability Tables**

means the document set out in Schedule [X] which has the content described at Section A3.29 (The TS Applicability Tables).

**User Systems**

means any Systems (excluding any Devices) which are operated by or on behalf of a User and used in whole or in part for:

- (a) constructing Service Requests;
- (b) sending Service Requests over the DCC User Interface;
- (c) receiving, sending, storing, using or otherwise carrying out any processing in respect of any Pre-Command or Signed Pre-Command;
- (d) receiving Service Responses or Alerts over the DCC User Interface;
- (e) generating Data for communication to the OCA, DCA, ICA or DCCKICA, or receiving Data from the OCA, DCA, ICA or DCCKICA (including any Systems which store or use Secret Key Material for such purposes) but excluding communications in relation to Devices that do not have an SMI Status of "commissioned" or "installed not commissioned"; and/or
- (f) generating any Unique Transaction Reference Number,

and any other Systems from which the Systems used in whole or in part for the purposes set out in paragraphs (a) to (f) are not Separated.

**Version**

in relation to:

- (a) a Technical Specification, has the meaning given to that expression in Section A3.2 (Versions of the Technical Specifications); and
- (b) the GBCS or CPA Security Characteristics, has the meaning given to that expression in Section A3.22 (GB Companion Specification and CPA Security Characteristics),

and in each case includes both the Principal Version and Sub-Version of that document.";

- (iii) in the definition of "Anomaly Detection Threshold", in paragraph (a) –
  - (A) after "in respect of a User" insert "ID used by a User in one or more of its User Roles"; and
  - (B) after "set by the User" insert "in relation to that User ID";
- (iv) in the definition of "Certificate", after "ICA Certificate" insert "(or, for the purposes of any Certificate Policy in which the term is defined, it shall have the meaning ascribed to it in that Certificate Policy)";
- (v) in the definition of "Communications Hub Function", in the final paragraph –
  - (A) before "of the CHTS" delete "version" and insert "Version"; and
  - (B) after "which was" delete "a Valid Technical Specification" and insert "within its Installation Validity Period";
- (vi) in the definition of "Electricity Smart Meter", in the final paragraph –
  - (A) after "Device Type in question) in a" delete "version of the SMETS which was the Valid Technical Specification" and insert "Version of the SMETS which was within its Installation Validity Period"; and
  - (B) after "that meet the requirements of" delete "the version of the SMETS that was designated on 18 December 2012 (and amended and restated on 31 March 2014)" and insert " any Version of the SMETS with a Principal Version number of 1";
- (vii) in the definition of "Gas Proxy Function" –
  - (A) in the chapeau paragraph, after "means" delete "that part of a device" and insert "a Device"; and

- (B) in the final paragraph –
  - 1) before "of the CHTS" delete "version" and insert "Version"; and
  - 2) after "Proxy Functions') which was" delete "a Valid Technical Specification" and insert "within its Installation Validity Period";
- (viii) in the definition of "Gas Smart Meter", in the final paragraph –
  - (A) after "the SMETS which was" delete "a Valid Technical Specification" and insert "within its Installation Validity Period"; and
  - (B) after "that meet the requirements of" delete "the version of the SMETS that was designated on 18 December 2012 (and amended and restated on 31 March 2014)" and insert "any Version of the SMETS with a Principal Version number of 1";
- (ix) in the definition of "HAN Connected Auxiliary Load Control Switch", in the final paragraph, before "on the date on" delete "a version of the HCALCS Technical Specification which was a Valid Technical Specification" and insert "a Version of the HCALCS Technical Specification which was within its Installation Validity Period";
- (x) in the definition of "IHD", in the final paragraph, before "on the date on" delete "a version of the IHD Technical Specification which was a Valid Technical Specification" and insert "a Version of the IHD Technical Specification which was within its Installation Validity Period";
- (xi) in the definition of "Notification", after "pursuant to" delete "EU Directive 98/34/EC" and insert "EU Directive 2015/1535/EU";
- (xii) in the definition of "Pre-Payment Meter Interface Device", in the final paragraph, before "on the date on" delete "a version of the PPMID Technical Specification which was a Valid Technical Specification" and insert "a Version of the PPMID Technical Specification which was within its Installation Validity Period";
- (xiii) in the definition of "RDP Systems", in paragraph (b), delete existing sub-paragraphs (ii) and (iii) and insert new sub-paragraph (ii) as follows –
  - "(ii) generating Data for communication to the OCA, ICA or DCCKICA, or receiving Data from the OCA, ICA or DCCKICA (including any Systems which store or use Secret Key Material for such purposes),";
- (xiv) in the definition of "Registration Data Interface Code of Connection", after "of that name" delete "to be incorporated into this Code pursuant to Section X5 (Incorporation of Certain Documents into this Code)" and insert "set out in Appendix Y";
- (xv) in the definition of "Registration Data Interface Specification", after "of that name" delete "to be incorporated into this Code pursuant to Section X5

(Incorporation of Certain Documents into this Code)" and insert "set out in Appendix X"; and

(xvi) in the definition of "Threshold Anomaly Detection", delete existing paragraph (a) and insert new paragraph (a) as follows –

"(a) in respect of any User ID used by a User in one or more of its User Roles, detect whether the total number of communications (in general or of a particular type) sent, received or processed by the DCC in relation to that User ID exceeds the relevant Anomaly Detection Threshold;"; and

(b) delete existing Section A3 and insert new Section A3 as follows –

**"A3 TECHNICAL SPECIFICATIONS, THE GB COMPANION SPECIFICATION AND THE CPA SECURITY CHARACTERISTICS"**

**Introduction**

A3.1 This Section A3 makes provision in relation to:

- (a) the maintenance in this Code of different versions of each of the Technical Specifications;
- (b) the relationship between each version of a Technical Specification and:
  - (i) the GB Companion Specification; and
  - (ii) the CPA Security Characteristics; and
- (c) the interpretation of the Code in respect of the Technical Specifications, GB Companion Specification, and CPA Security Characteristics.

**Versions of the Technical Specifications**

A3.2 Each Technical Specification may exist in more than one version (a "Version").

A3.3 Each Version of a Technical Specification shall consist of two elements:

- (a) a Principal Version; and
- (b) a Sub-Version of that Principal Version.

A3.4 Each Version of a Technical Specification shall be identified by a numerical reference in a form equivalent to 'SMETS v 1.2', where:

- (a) the number before the decimal point identifies the Principal Version; and
- (b) the number after the decimal point identifies the Sub-Version.

A3.5 In respect of any Technical Specification:

- (a) the expression “**Principal Version**” shall be interpreted in accordance with Sections A3.6 to A3.7; and
- (b) the expression “**Sub-Version**” shall be interpreted in accordance with Sections A3.8 to A3.9.

#### **The Principal Version**

A3.6 Where a Technical Specification is amended in a manner that is entirely prospective, that amendment shall be made by creating a new Principal Version, and:

- (a) for this purpose a prospective amendment means one that does not require any change to be made to any Device or apparatus which is already installed;
- (b) in consequence a new Principal Version shall be taken to indicate amendments which have no retrospective effect.

A3.7 The first Principal Version of a Technical Specification shall be allocated the number 1, and subsequent Principal Versions of that Technical Specification shall be allocated sequential numbers in the chronological order in which they are created.

#### **The Sub-Version**

A3.8 Where any Principal Version of a Technical Specification is amended in a manner that is intended to have retrospective effect, that amendment shall be made by creating a new Sub-Version, and for these purposes:

- (a) a Sub-Version means a new form of the Principal Version to which it relates;
- (b) an amendment with retrospective effect means one that requires a change to be made to Devices or apparatus which are already installed.

A3.9 The initial form of a Principal Version of a Technical Specification shall be allocated the Sub-Version number of zero, and subsequent Sub-Versions shall be allocated sequential numbers, beginning with 1, in the chronological order in which they are created.

#### **The Installation Validity Period**

A3.10 Any Version of a Technical Specification may be assigned an Installation Validity Period.

A3.11 An “**Installation Validity Period**” means the period of time during which any Device or apparatus satisfying the requirements of that Version of the Technical Specification may be installed or provided.

A3.12 An Installation Validity Period shall:



- (a) commence on the “**Installation Start Date**” that is identified in relation to that Version of the Technical Specification in the TS Applicability Tables; and
- (b) end on any “**Installation End Date**” that may be identified in relation to that Version of the Technical Specification in the TS Applicability Tables.

A3.13 The Installation End Date of any Version of a Technical Specification may be later than the Installation Start Date of a Version that succeeds it, so that:

- (a) two or more Versions may be within their Installation Validity Periods at the same time; and
- (b) any Device or apparatus to which each such Version relates may be installed or provided in accordance with any such Version that is within its Installation Validity Period at that time.

#### **The Maintenance Validity Period**

A3.14 Each Version of a Technical Specification shall be assigned a Maintenance Validity Period.

A3.15 A “**Maintenance Validity Period**” means the period of time during which a Device or other apparatus may be maintained in accordance with the requirements of that Version of the Technical Specification.

A3.16 A Maintenance Validity Period shall:

- (a) commence on the “**Maintenance Start Date**” that is identified in relation to that Version of the Technical Specification in the TS Applicability Tables; and
- (b) end on any “**Maintenance End Date**” that may be identified in relation to that Version of the Technical Specification in the TS Applicability Tables.

A3.17 The Maintenance End Date of any Version of a Technical Specification may be later than the Maintenance Start Date of a Version that succeeds it, so that:

- (a) two or more Versions may be within their Maintenance Validity Periods at the same time; and
- (b) any Device or apparatus to which each such Version relates may be maintained in accordance with any such Version that is within its Maintenance Validity Period at that time.

#### **Versions in the Code**

A3.18 The Schedule of the Code in which any Technical Specification is set out shall consist of a number of parts, each of which shall correspond to and comprise a Version of that Technical Specification, so that (for example) CHTS v 2.1 shall be set out at Schedule 10 Part 2.1.

A3.19 Each Version of a Technical Specification shall be retained in the relevant Schedule to the Code at all times during which it remains within its Installation Validity Period (if any) and/or its Maintenance Validity Period.

A3.20 Where, in respect of any Version of a Technical Specification:

- (a) no Installation Validity Period has been assigned, or any Installation Validity Period that was assigned has expired; and
- (b) the Maintenance Validity Period has expired,

that Version shall be deemed automatically to be deleted from the Code on the day immediately following whichever is the later of its Installation End Date (if any) or Maintenance End Date, and the part of the Schedule in which it is set out shall then automatically be marked 'Not Used'.

A3.21 The Code Administrator shall at all times maintain on the Website copies of those Versions of each Technical Specification which have been deleted from the Code in accordance with Section A3.20, together with a record of the Installation Start and End Dates (if any) and the Maintenance Start and End Dates relating to each such Version.

#### **GB Companion Specification and CPA Security Characteristics**

A3.22 The GB Companion Specification and the CPA Security Characteristics may each exist in more than one version (a "Version").

A3.23 The provisions of Sections A3.3 to A3.9 shall apply to the GBCS and CPA Security Characteristics:

- (a) as if references in those Sections to a Technical Specification were references to each of those documents; and
- (b) in respect of the CPA Security Characteristics, so that:
  - (i) any reference in those Sections to the creation of a new Version by an amendment that requires a change to be made to a Device or apparatus which is already installed shall be read as if it were a reference to an amendment requiring the Device Model of a Device or apparatus which is already installed to be certified, on the expiry of its CPA Certificate, against the new Version of the CPA Security Characteristics; and
  - (ii) Section A3.35 shall be interpreted accordingly.

A3.24 The provisions of Sections A3.18 to A3.21 shall apply to the GBCS as if references in those Sections:

- (a) to a Technical Specification were references to the GBCS;
- (b) to an Installation Validity Period or Maintenance Validity Period were to an Applicability Period; and

- (c) to an Installation Start or End Date, or a Maintenance Start or End Date, were to the first and last dates of the Applicability Period.

A3.25 Each Technical Specification requires that the Device or other apparatus to which it relates must be compatible with a relevant Version of the GBCS.

A3.26 For these purposes:

- (a) the relevant Version of the GBCS in relation to any Version of a Technical Specification shall be deemed to be that which is specified in relation to it in the TS Applicability Tables;
- (b) more than one Version of the GBCS may be relevant to a Version of a Technical Specification at the same time;
- (c) a Version of the GBCS may be relevant to more than one Version of a Technical Specification at the same time;
- (d) a Version of the GBCS shall be relevant to a Version of a Technical Specification only during such period of time (in each case, an “**Applicability Period**”) as may be specified in the TS Applicability Tables.

A3.27 Each Version of the GBCS requires that the Device or other apparatus must be certified as compliant with a relevant Version of the CPA Security Characteristics.

A3.28 For these purposes:

- (a) the relevant Version of the CPA Security Characteristics in relation to any Version of the GBCS shall be deemed to be that which is specified in relation to it in the TS Applicability Tables;
- (b) more than one Version of the CPA Security Characteristics may be relevant to a Version of the GBCS at the same time;
- (c) a Version of the CPA Security Characteristics may be relevant to more than one Version of the GBCS at the same time.

### **The TS Applicability Tables**

A3.29 There shall be a document to be known as the “**TS Applicability Tables**”, which shall be set out at Schedule [X] to the Code following its initial designation in accordance with Section X5 (Incorporation of Certain Documents into this Code) by the Secretary of State in reliance on Section X5.4 (Other Technical Specifications), and shall:

- (a) in relation to each Technical Specification, list each of the Versions of that Technical Specification that have been produced;
- (b) in relation to each such Version of that Technical Specification, identify:
  - (i) any Installation Start Date that has been assigned to it;

- (ii) any Installation End Date that has been assigned to it (or a statement that no such date has yet been determined);
  - (iii) the Maintenance Start Date;
  - (iv) the Maintenance End Date (or a statement that no such date has yet been determined);
  - (v) the relevant Version(s) of the GBCS;
  - (vi) any Applicability Period relating to any such relevant Version of the GBCS; and
- (c) in relation to each Version of the GBCS, identify the relevant Version(s) of the CPA Security Characteristics.

A3.30 The TS Applicability Tables shall be amended to ensure that it remains accurate and up-to-date:

- (a) on the designation or re-designation of a Technical Specification or the GBCS in accordance with Section X5 (Incorporation of Certain Documents into this Code), by the Secretary of State in reliance on Section X5.6 (Supplementary Provisions); and
- (b) as part of any modification of the Code which creates a new Version of any Technical Specification or of the GBCS in accordance with Section D (Modification Process).

A3.31 Where the TS Applicability Tables is amended (including by the means described in Section A3.30) the amendment may have retrospective effect, which is to say that any date specified in the TS Applicability Tables by virtue of that amendment may be a date which falls before the date on which the amendment was made.

A3.32 The information set out in the TS Applicability Tables shall be regarded as conclusive for all purposes of any question as to the:

- (a) Installation Validity Period of any Version of a Technical Specification;
- (b) Maintenance Validity Period of any Version of a Technical Specification;
- (c) relevant Version(s) of the GBCS in relation to any Version of a Technical Specification;
- (d) Applicability Period of any Version of the GBCS; and
- (e) relevant Version(s) of the CPA Security Characteristics in relation to any version of the GBCS.

**DCC User Interface Specification and Message Mapping Catalogue**

A3.33 The DCC User Interface Specification may exist in more than one version.

A3.34 Where there is more than one version of the DCC User Interface Specification:

- (a) each such version shall contain a different version of the DUIS XML Schema (but a version of the DCC User Interface Specification may be modified, and its version number updated, without any corresponding change to the DUIS XML Schema);
- (b) there shall be, in respect of each such version, one or more corresponding versions of the Message Mapping Catalogue;
- (c) a User may submit any Service Request, in respect of which it is an Eligible User, in accordance with any version of the DCC User Interface Specification;
- (d) in accordance with the requirements of each version of the DCC User Interface Specification, each such Service Request must identify the version of the DUIS XML Schema in accordance with which it has been submitted;
- (e) any obligation on the DCC or any User in relation to any Service Request or associated communication shall be interpreted by reference to the provisions of the version of the DCC User Interface Specification that contains the DUIS XML Schema that is identified in that Service Request;
- (f) the obligation on the DCC at Section H11.1 (Parse and Correlate Software) to provide Parse and Correlate Software shall be interpreted as an obligation to provide a separate version of the Parse and Correlate Software in respect of each version of the DCC User Interface Specification (and each corresponding version of the Message Mapping Catalogue); and
- (g) any other obligation on the DCC under this Code in relation to the Parse and Correlate Software shall be read as an obligation applying separately in respect of each such version of that software.

#### **The Parse and Correlate Applicability Matrix**

A3.35 There shall be a document to be known as the “**Parse and Correlate Applicability Matrix**”, which shall include:

- (a) a list of each of the versions of the Parse and Correlate Software that have been released; and
- (b) in relation to each such version of the Parse and Correlate Software:
  - (i) its version number;
  - (ii) the version(s) of the DCC User Interface Specification to which that version of the Parse and Correlate Software relates, and the version of the DUIS XML Schema which that version of the DCC User Interface Specification contains;

- (iii) the version(s) of the Message Mapping Catalogue to which that version of the Parse and Correlate Software relates;
- (iv) the version(s) of the GBCS to which that version of the Parse and Correlate Software relates.

A3.36 The Code Administrator shall:

- (a) maintain the Parse and Correlate Applicability Matrix to ensure that it remains accurate and up-to-date;
- (b) ensure that the latest version of the Parse and Correlate Applicability Matrix is published and available on the Website.

A3.37 The DCC shall ensure that the Code Administrator is provided with such information as it requires for the purpose of complying with Section A3.36.

### **Interpretation**

A3.38 References in this Section A3 to amendments of a Technical Specification which do (or do not) require changes to be made to any Device or apparatus which is already installed shall be interpreted as references to the effect of those amendments on the duties of:

- (a) Electricity and Gas Supplier Parties in accordance with the standard conditions of the Energy Supply Licences; and
- (b) the DCC in accordance with the conditions of the DCC Licence.

A3.39 Where:

- (a) any provision of this Code relates to a Device or any communication to or from a Device; and
- (b) the application of that provision requires that reference is made to a Version of a Technical Specification,

the Version of that Technical Specification which shall be treated as applicable for that purpose shall be the one identified as pertaining to the Device Model of that Device in the Certified Products List."

26 In Section D –

(a) in Section D1 –

- (i) in Section D1.2, after "(a **Modification Proposal**)" insert "or a direction under Section D9A (Authority-Led Variations)";
- (ii) in Section D1.3, delete existing Section D1.3(d) and insert new Section D1.3(d) as follows –

"(d) the Authority or the DCC acting at the direction of the Authority, but in each case only in respect of variations to this Code which:

- (i) the Authority reasonably considers are necessary to comply with or implement the EU Regulations, any relevant legally binding decisions of the European Commission and/or the Agency for the Co-operation of Energy Regulators; and/or
  - (ii) are in respect of a Significant Code Review; and"; and
- (iii) in Section D1.7 –
  - (A) after existing Section D1.7(l), insert new Section D1.7(m) as follows –
    - "(m) a statement of whether, in the opinion of the Proposer, the Modification Proposal will require, as part of the proposal's implementation, the DCC to undertake testing of the DCC Total System and/or provide testing services;"; and
  - (B) renumber existing Sections D1.7(m) and D1.7(n) as Sections D1.7(n) and D1.7(o) respectively;
- (b) in Section D2, delete existing Section D2.4 and the heading reading "**Path 1 Modifications: Authority-led**" which precedes it and insert new heading and Section D2.4 as follows –
 

**"Path 1 Modifications: Authority-initiated**

D2.4 A Modification Proposal submitted pursuant to Section D1.3(d), by either the Authority or the DCC at the direction of the Authority, shall have the status of a **Path 1 Modification.**";
- (c) in Section D3, in Section D3.9(c), after "Smart Metering Systems" insert ", and/or testing as part of implementation";
- (d) in Section D4, in Section D4.9, after "in respect of a Modification" delete "proposal" and insert "Proposal";
- (e) in Section D5 –
  - (i) in the heading of that Section, after "WITHDRAWAL" delete "BY PROPOSER" and insert "OF A PROPOSAL"; and
  - (ii) after existing Section D5.6 insert new heading and new Section D5.7 as follows –
 

**"Significant Code Review: Backstop Direction**

D5.7 Where one or more Modification Proposals that are Path 1 Modifications have been raised, the Authority may issue a direction under this Section D5.7 that requires the withdrawal of those Modification Proposals and of any connected Alternative Proposals. Where the Authority so directs:

    - (a) the Significant Code Review Phase shall re-commence; and

- (b) the Proposer for each such Modification Proposal shall be deemed to have withdrawn the Modification Proposal(s), and Sections D5.3 and D5.4 shall not apply to the withdrawn Modification Proposal(s).";
- (f) in Section D6 –
  - (i) in section D6.8 –
    - (A) in Section D6.8(d), after "referred to in" delete "Section D6.9" and insert "Section D6.9(b)";
    - (B) after existing Section D6.8(d), insert new Section D6.8(e) as follows –
      - "(e) consider whether the DCC should, as part of the proposal's implementation (if the Modification Proposal is approved), be required to undertake testing of the DCC Total System and/or provide testing services; and (if so) ensure that the Modification Proposal includes amendments to this Code which provide a robust testing solution (or, if it is not yet reasonably practicable to document the testing solution, which provide a process for developing the testing solution);"; and
    - (C) renumber existing Sections D6.8(e) to D6.8(k) as Sections D6.8(f) to D6.8(l) respectively; and
  - (ii) delete existing Section D6.9 and insert new Section D6.9 as follows –
    - "D6.9 At the request of a Working Group established pursuant to this Section D6 in respect of a Modification Proposal, the DCC shall prepare an analysis of either or both of the following:
      - (a) whether the DCC should, as part of the proposal's implementation (if that Modification Proposal were to be approved), be required to undertake testing of the DCC Total System and/or provide testing services; and (if so) the DCC's proposals for the scope, phases, timetable and participants for such testing (or, to the extent it is not yet reasonably practicable to determine such matters, its proposals for the process pursuant to which such matters should be developed); and/or
      - (b) how the following matters would be affected if that Modification Proposal were to be approved:
        - (i) the ability of the DCC to discharge its duties and comply with its obligations under the Relevant Instruments; and/or
        - (ii) the extent to which changes would be required to DCC Systems, User Systems and/or Smart Metering



Systems; and (if so) the likely development, capital and operating costs associated with such changes and any consequential impact on the Charges.";

- (g) in Section D7, in Section D7.3 –
  - (i) delete existing Section D7.3(f);
  - (ii) renumber existing Sections D7.3(g) to D7.3(i) as Sections D7.3(f) to D7.3(h) respectively; and
  - (iii) after renumbered Section D7.3(h), delete existing Section D7.3(j) and insert new Section D7.3(i) as follows –
    - "(i) where the Modification Proposal was subject to the Refinement Process prior to the Report Phase:
      - (i) include the Consultation Summary produced by the Working Group in respect of the Modification Proposal;
      - (ii) specify whether, if the Modification Proposal is approved, the implementation of the Modification Proposal is likely to require changes to DCC Systems, User Systems and/or Smart Metering Systems; and (if so) the likely development, capital and operating costs associated with such changes and any consequential impact on the Charges;
      - (iii) specify whether, if the Modification Proposal is approved, the DCC is to be required, as part of the Modification Proposal's implementation, to undertake testing of the DCC Total System and/or provide testing services; and (if so) how such testing is dealt with in the Modification Proposal;
      - (iv) include a summary of any views provided by the Technical Architecture and Business Architecture Sub-Committee, the Security Sub-Committee, the SMKI PMA or the Alt HAN Forum in respect of the Modification Proposal pursuant to Section D6.8 (Purpose of the Refinement Process); and
      - (v) include a summary of any analysis provided by the DCC pursuant to Section D6.9 (Analysis by the DCC).";
- (h) in Section D8 –
  - (i) in Section D8.1, after "establish a Sub-Committee" delete "for the purposes of" and insert "as described in";
  - (ii) in Section D8.2 –
    - (A) in Section D8.2(b), after "Report Consultation;" delete "and";
    - (B) in Section D8.2(c), after "Alternative Proposal)" delete "." and insert "; and"; and

(C) after Section D8.2(c), insert new Section D8.2(d) as follows –

"(d) decide whether to approve or reject a proposed Authority-Led Variation."; and

(iii) in Section D8.3, in Section D8.3(a), after "Path 1 Modifications" delete "and Path 2 Modifications" and insert ", Path 2 Modifications and Authority-Led Variations";

(i) after existing Section D9, insert new Section D9A as follows –

**"D9A AUTHORITY-LED VARIATIONS"**

**Authority Power to Develop a Proposed Variation**

D9A.1 The Authority may develop a proposed variation to this Code in respect of a Significant Code Review, in accordance with the procedures set out in this Section D9A.

D9A.2 The Authority may commence a Significant Code Review Phase by issuing a direction under this Section D9A.2, or may issue a direction under this Section D9A.2 at any time during a Significant Code Review Phase. The Authority's direction under this Section D9A.2 will set out the scope and/or subject matter of the Significant Code Review.

**Authority-Led Consultation**

D9A.3 The Authority will, in such manner as it considers appropriate, consult on the merits of the proposed Authority-Led Variation with the Parties, Citizens Advice, Citizens Advice Scotland, and any other persons whose interests are materially affected by this Code.

**Authority-Led Modification Report**

D9A.4 The Authority may submit its proposed Authority-Led Variation to the Code Administrator, together with such supplemental information as the Authority considers appropriate.

D9A.5 Upon receipt of the Authority's proposal under Section D9A.4, the Code Administrator shall prepare a written report on the proposal (the "**Authority-Led Modification Report**"). The Authority-Led Modification Report must be consistent with the information provided by the Authority under Section 9A.4, and shall:

- (a) be addressed and delivered to the Panel;
- (b) set out the legal text of the proposed variation to this Code;
- (c) specify the proposed implementation timetable (including the proposed implementation date);
- (d) specify the likely effects of the proposed variation if it is implemented;

- (e) specify which Party Categories are likely to be affected by the proposed variation;
- (f) specify whether the implementation of the proposed variation will require changes to DCC Systems, User Systems and/or Smart Metering Systems; and (if so) the likely development, capital and operating costs associated with such changes and any consequential impact on the Charges;
- (g) specify whether, if the proposed variation is approved, this Code would better facilitate the achievement of the SEC Objectives than if the proposed variation was rejected;
- (h) specify whether it is likely that there would be a material impact on Greenhouse Gas Emissions as a result of the proposed variation being approved, and (if so) assessing such impact (which assessment shall be conducted in accordance with any guidance on the evaluation of Greenhouse Gas Emissions issued by the Authority from time to time); and
- (i) specify whether, if the proposed variation is approved, changes are likely to be necessary to other Energy Codes, and whether changes have been proposed in respect of the affected Energy Codes.

D9A.6 Upon completion of the Authority-Led Modification Report, the Code Administrator will place such report on the agenda for the next meeting of the Panel, which shall refer the report to the Change Board.

#### **Change Board and Change Board Decision**

D9A.7 In respect of each Authority-Led Modification Report referred to the Change Board, the Change Board shall vote whether to approve the Authority-Led Variation.

D9A.8 Each vote as referred to in Section D9A.7 shall take the form of a vote in accordance with Sections D8.15 to D8.17 (The Change Board Vote). The Authority's Significant Code Review conclusions document and/or the Authority's proposal submitted in accordance with Section D9A.4 shall not fetter the procedures or voting rights referred to in Section D8 (Change Board and Change Board Decision).

D9A.9 Following the vote of the Change Board in respect of the Authority-Led Variation, the Code Administrator shall populate the Modification Register to include the outcome of the vote and the reasons given by the Change Board Members pursuant to Section D8.17 (The Change Board Vote).

D9A.10 The Code Administrator shall communicate the outcome of the Change Board vote to the Authority and the Panel, and shall send copies of the following to the Authority:

- (a) the Authority-Led Modification Report; and

- (b) the outcome of the Change Board vote, including the reasons given by the Change Board Members pursuant to Section D8.17 (The Change Board Vote).

#### **Authority Decision**

D9A.11 An Authority-Led Variation shall be approved only where the Authority determines that the proposed variation shall be approved (which determination shall, without prejudice to section 173 of the Energy Act 2004, be final and binding for the purposes of this Code). In making such determination, the Authority will have regard to:

- (a) its objectives and statutory duties under the Electricity Act and the Gas Act;
- (b) whether or not the approval of the variation would better facilitate the achievement of the SEC Objectives than if the variation was rejected;
- (c) the decision of the Change Board in respect of the variation, which shall be considered to constitute a recommendation by the Parties as to whether or not to approve the variation; and
- (d) such other matters as the Authority considers appropriate.

#### **Send-Back Process**

D9A.12 Where the Authority considers that it is unable to form an opinion in relation to a proposed Authority-Led Variation, then it may issue a direction to the Panel specifying any additional steps that the Authority requires in order to form such an opinion. Where the Authority issues a direction to the Panel pursuant to this Section D9A.12:

- (a) the decision of the Change Board in respect of the variation shall be null and void;
- (b) the Panel shall seek to address the matters raised by the Authority, and shall (where necessary) have an updated Authority-Led Modification Report produced; and
- (c) the Secretariat shall update the Modification Register to record the status of the proposed variation.

#### **Implementation**

D9A.13 Where an Authority-Led Variation has been approved in accordance with Section D9A.11, Section D10 (Implementation) shall apply."; and

- (j) in Section D10, delete existing Section D10.1 and insert new Section D10.1 as follows –

"D10.1 Once a Modification Proposal has been approved in accordance with Section D9 (Modification Proposal Decision) or an Authority-Led Variation has been approved in accordance with Section D9A.11 (Authority Decision), the Panel shall ensure that this Code is varied in accordance with that Modification

Proposal or Authority-Led Variation, as set out in this Section D10. Authority-Led Variations are to be treated as Path 1 Modifications for the purposes of this Section D10 (and references to Modification Proposals shall be interpreted accordingly).".

27 In Section E –

- (a) in Section E2, in Section E2.5, after "full force and effect" insert "(or, in the case of Registration Data Providers nominated after this Section E2.5 comes into full force and effect, shall be provided in accordance with Section E4 (RDP Entry Process))"; and
- (b) after existing Section E3, insert new Section E4 as follows –

**"E4 RDP ENTRY PROCESS**

**Overview**

E4.1 Before Data is exchanged between the DCC and a Registration Data Provider under Section E2 (Provision of Data) for the first time, the Registration Data Provider must successfully complete the RDP Entry Process Tests.

**RDP Entry Process Tests**

E4.2 The "**RDP Entry Process Tests**" are, in respect of an RDP, tests to demonstrate that the DCC and the RDP are capable of exchanging Data under Section E2 (Provision of Data), as such tests are further described in the Enduring Testing Approach Document. An RDP which successfully completed Systems Integration Testing shall be deemed to have successfully completed the RDP Entry Process Tests.

E4.3 Each RDP that has not (and is not deemed to have) successfully completed the RDP Entry Process Tests shall be entitled to undertake RDP Entry Process Tests. Each RDP that has been nominated by one or more Network Parties for which the RDP was not nominated at the time that it successfully completed the RDP Entry Process Tests (or was deemed to do so) shall be entitled to undertake RDP Entry Process Tests in relation to such Network Parties. Each RDP is only obliged to successfully complete the RDP Entry Process Tests once.

E4.4 Each RDP that undertakes RDP Entry Process Tests shall:

- (a) do so in accordance with Section H14 (Testing Services) and the Enduring Testing Approach Document; and
- (b) be a Testing Participant for the purposes of RDP Entry Process Tests (and the provisions of Section H14 shall apply accordingly, including in respect of Testing Issues).

E4.5 The RDP will have successfully completed the RDP Entry Process Tests once the DCC considers that both it and the RDP have demonstrated that they have satisfied the applicable requirements set out in the Enduring Testing Approach Document.

- E4.6 Where requested by the RDP, the DCC shall provide written confirmation to the RDP confirming whether or not the DCC considers that the RDP Entry Process Tests have been successfully completed.
- E4.7 Where the DCC is not satisfied that the RDP Entry Process Tests have been successfully completed, the RDP may refer the matter to the Panel for its determination. Where the RDP disagrees with any such determination of the Panel, then the RDP may refer the matter to the Authority for its determination (which shall be final and binding for the purposes of this Code).

**Liability of and to the Network Parties**

- E4.8 Each Network Party shall ensure that its Registration Data Provider (being the Network Party itself where that is deemed to be the case in accordance with the definition of Registration Data Provider) shall comply with the obligations expressed to be placed on Registration Data Providers under or pursuant to this Section E4. An RDP need not enter into an Enabling Services Agreement (and Section H14.7 shall not apply to RDPs).
- E4.9 Where more than one Network Party nominates the same Registration Data Provider, each of those Network Parties shall be jointly and severally liable for any failure by that Registration Data Provider to comply with the obligations expressed to be placed on Registration Data Providers under or pursuant to this Section E4.
- E4.10 The DCC acknowledges that it is foreseeable that Network Parties will have made arrangements with their Registration Data Providers such that breach by the DCC of this Section E4 will cause the Network Parties to suffer loss for which the DCC may be liable (subject to Section M2 (Limitations of Liability))."

28 In Section F –

(a) in Section F2 –

- (i) delete existing Section F2.11 and insert new Sections F2.11 and F2.12 as follows –

"F2.11 The Panel shall create, keep reasonably up-to-date and publish on the Website a matrix specifying:

- (a) which Versions of each Technical Specification are compatible with which Versions of the other Technical Specification; and
- (b) which Versions of each part(s) of the SMETS are compatible with which Versions of each other part(s) of the SMETS.

F2.12 For the purposes of Section F2.11:

- (a) 'compatible' means:

- (i) in respect of a Version of one Technical Specification, that Devices or apparatus which comply with that Version are designed to inter-operate with Devices or apparatus that comply with the specified Version of the other Technical Specification; and
  - (ii) in respect of a Version of one part(s) of the SMETS, that Devices or apparatus which comply with that Version are designed to inter-operate with Devices or apparatus that comply with the specified Version of each of the other part(s) of the SMETS;
- (b) each reference to a Version of a Technical Specification shall be read as being to that Version taken together with any relevant Version of the GB Companion Specification (as identified in the TS Applicability Tables), so that if there is more than one relevant Version of the GB Companion Specification for any Version of a Technical Specification, the matrix shall make separate provision for each of them;
- (c) a 'part(s) of the SMETS' means each of the following:
- (i) the part(s) identified in the SMETS as applying to 'Electricity Smart Metering Equipment';
  - (ii) the part(s) identified in the SMETS as applying to 'Gas Smart Metering Equipment';
  - (iii) the PPMID Technical Specification;
  - (iv) the HCALCS Technical Specification; and
  - (v) the IHD Technical Specification; and
- (d) the matrix need not specify:
- (i) which Versions of the part(s) of the SMETS identified as applying to 'Electricity Smart Metering Equipment' are compatible with which Versions of the part(s) of the SMETS identified as applying to 'Gas Smart Metering Equipment'; and
  - (ii) which Versions of the part(s) of the SMETS identified as applying to 'Gas Smart Metering Equipment' are compatible with which Versions of:
    - (A) the part(s) of the SMETS identified as applying to 'Electricity Smart Metering Equipment'; or
    - (B) the HCALCS Technical Specification."; and

- (ii) renumber existing Section F2.12 as Section F2.13; and
- (b) in Section F10, after existing Section F10.11, insert new heading and new Sections F10.12 to F10.15 as follows –

**"Availability of Test CH Variants**

F10.12 The DCC shall ensure that the Test Communications Hubs made available pursuant to this Section F10 represent Communications Hubs that provide for each and every combination of HAN Variant and WAN Variant; subject to Section F10.15.

F10.13 The DCC shall not be obliged to make one or more Test Communications Hub variants available pursuant to this Section F10 where it is not cost effective to do so (having regard to the obligations of Supplier Parties under this Code, including under Section F4.4 (Interoperability with DCC Systems)).

F10.14 Where the DCC seeks to rely on Section F10.13 in respect of one or more variants, the DCC shall publish notice of that fact on the DCC Website, including within such notice the DCC's justification for why it is not cost effective to make that variant available pursuant to this Section F10. Where a Party disagrees with the DCC's justification in respect of one or more variants, that Party may refer the matter to the Panel to determine whether the DCC's justification is valid. Where the DCC or any other Party disagrees with the Panel's determination, the DCC or such other Party may refer the matter to the Authority for its determination (which shall be final and binding for the purposes of this Code).

F10.15 Where the DCC seeks to rely on Section F10.13 in respect of one or more variants, the DCC shall not be obliged to make the Test Communications Hub variant available pursuant to this Section F10 until either:

- (a) the Panel has determined that the DCC is obliged to make the variant available, and the DCC has not referred the matter to the Authority within 20 Working Days following the Panel's determination; or
- (b) the Authority has determined that the DCC is obliged to make the variant available."

29 In Section G –

(a) in Section G2 –

(i) in the heading after existing Sections G2.35, after "**Cryptographic Credential Tokens**" delete "**and Smart Card Tokens**" and insert "**and Smart Card Tokens**";

(ii) in section G2.36 –

(A) after "any Cryptographic Credential Token" delete "or Smart Card Token" and insert "or Smart Card Token"; and



- (B) after "that Cryptographic Credential Token" delete "or Smart Card Token" and insert "or Smart Card Token";
- (iii) in section G2.37, after "any Cryptographic Credential Tokens" delete "or Smart Card Tokens" and insert "or Smart Card Tokens"; and
- (iv) in section G2.38 –
  - (A) after "any Cryptographic Credential Token" delete "or Smart Card Token" and insert "or Smart Card Token"; and
  - (B) after "use of Cryptographic Credential Tokens" delete "or Smart Card Tokens" and insert "or Smart Card Tokens";
- (b) in Section G5 –
  - (i) in Section G5.1(a), after "Security Techniques -" delete "Information Security Management Systems" and insert "Information Security Risk Management"; and
  - (ii) in Section G5.15(a), after "Security Techniques -" delete "Information Security Management Systems" and insert "Information Security Risk Management"; and
- (c) in Section G6, in Section G6.3(a), after "shall" insert ", in respect of each User ID used by it in any User Role by virtue of which it is such an Eligible User,".

30 In Section H –

- (a) in Section H1, delete existing Section H1.8(b) and insert new Section H1.8(b) as follows –
  - "(b) include a recommendation that each Party undertakes a privacy impact assessment:
    - (i) in accordance with the Information Commissioner's guidance concerning the same; and
    - (ii) where the Party is completing the User Entry Process for the User Role of Other User, having regard to any guidance issued by the Secretary of State and/or the Authority in respect of matters relating to the Processing of Personal Data that are comprised in any Data of a type referred to in Sections I1.2 to I1.4,

(but there shall be no obligation under this Code to do so).";
- (b) in Section H3 –
  - (i) after existing Section H3.22, insert new Section H3.22A as follows –
    - "H3.22A A Party that is not a User but expects to submit Service Requests to the DCC at any time during any period referred to in Section H3.22 shall comply with Section H3.22 as if it were a User"; and

- (ii) delete existing Section H3.27 and insert new Section H3.27 as follows –
  - "H3.27 Not Used.";
- (c) in Section H10, in Section H10.2, after "impact of any" delete "Comprise" and insert "Compromise"; and
- (d) in Section H14 –
  - (i) in Section H14.1 –
    - (A) in Section H14.1(d), after "described in Section H14.34);" delete "and";
    - (B) in Section H14.1(e), after "described in Section H14.36)" delete "." and insert "; and"; and
    - (C) after Section H14.1(e), insert new Section H14.1(f) as follows –
      - "(f) RDP Entry Process Tests.";
  - (ii) in Section H14.9 –
    - (A) in Section H14.9(a), after "and/or remotely;" delete "and";
    - (B) after existing Section H14.9(a), insert new Section H14.9(b) as follows –
      - "(b) a reasonable number of Test Communications Hubs for use by Testing Participants at the DCC's physical test laboratories which represent each and every combination of HAN Variant and WAN Variant; and";
    - (C) renumber existing Section H14.9(b) as Section H14.9(c); and
    - (D) in renumbered Section H14.9(c) after "a reasonable number of Devices" insert "(other than Communications Hubs)";
  - (iii) in Section H14.10, after "Without prejudice to" delete "Section H14.9(b)" and insert "Sections H14.9(b) and (c)";
  - (iv) after existing Section H14.10, insert new Section H14.10A as follows –
    - "H14.10A The DCC may require a Testing Participant to remove its Devices from a DCC physical test laboratory in accordance with the requirements set out in the Enduring Testing Approach Document. Any dispute between the DCC and a Testing Participant regarding the removal of such Devices (or the right to re-commence testing) may be referred to the Panel for its determination (which determination shall be final and binding for the purposes of this Code).";
  - (v) in Section H14.14(c), after "as referred to in" delete "Section H14.9(b)" and insert "Sections H14.9(b) and (c)";

- (vi) in Section H14.31 –
  - (A) in Section H14.31(a), after "with the DCC Systems and with the" insert "Test"; and
  - (B) in Section H14.31(c), after "with the DCC Systems and with the" insert "Test"; and
- (vii) delete existing Sections H14.34 and H14.35 and insert new Sections H14.34 and H14.25 as follows –

"H14.34 Where an approved Modification Proposal provides for the DCC to provide testing services as part of the Modification Proposal's implementation, then such testing shall be undertaken as a Testing Service pursuant to this Section H14.34.

H14.35 The Parties which are eligible, or obliged, to participate in such testing shall be determined in accordance with Section D (Modification Process), and either set out in this Code or established via a process set out in this Code."

31 In Section I, in Section II, in Section II.1, after "each may have under the" insert "Data Protection Act and other".

32 In Section L –

(a) in Section L3, in Section L3.20, after "in respect of an IKI Certificate" insert "in the circumstances set out in the IKI Certificate Policy"; and

(b) in Section L13 –

(i) delete existing Section L13.3 and insert new Section L13.3 as follows -

"L13.3 The DCC shall authorise any Party or RDP to submit a DCCKI Certificate Signing Request, or any User to submit a Personnel Authentication Certification Application, and so to become a DCCKI Subscriber, where that person has successfully completed the relevant procedures and satisfied the criteria set out in the DCCKI Certificate Policy and the DCCKI RAPP.";

(ii) delete existing Sections L13.13 to L13.14 and insert new Sections L13.13 to L13.14 as follows –

"L13.13 For the purposes of this Section L13, the “**DCCKI Interface Design Specification**” shall be a SEC Subsidiary Document of that name which:

(a) shall specify the technical details of the DCCKI Service Interface;

(b) shall include the protocols and technical standards that apply to the DCCKI Service Interface;

- (c) shall base those technical standards on PKIX/IETF/PKCS open standards, where:
  - (i) PKIX is the Public Key Infrastructure for X.509 Certificates, being an IETF set of standards for certificate and certificate revocation list profiles as specified in IETF RFC 5280;
  - (ii) the IETF is the Internet Engineering Task Force; and
  - (iii) PKCS is the Public Key Cryptography Standard; and
- (d) may set out the procedure by which a DCCKI Authorised Subscriber and the DCC may communicate over the DCCKI Service Interface, and may in particular specify any requirements on:
  - (i) a DCCKI Authorised Subscriber which accesses, or is seeking to access, the DCCKI Service Interface;
  - (ii) the DCC in relation to the provision of means of access to the DCCKI Service Interface and/or any steps which must be taken by it in relation to communications made by a DCCKI Authorised Subscriber and received by it over the DCCKI Service Interface.

DCCKI Code of Connection

L13.14 For the purposes of this Section L13, the “**DCCKI Code of Connection**” shall be a SEC Subsidiary Document of that name which:

- (a) shall set out the way in which DCCKI Authorised Subscribers may access the DCCKI Service Interface;
  - (b) shall specify the procedure by which DCCKI Authorised Subscribers and the DCC may communicate over the DCCKI Service Interface;
  - (c) shall include a description of the way in which the mutual authentication and protection of communications taking place over the DCCKI Service Interface will operate; and
  - (d) may specify any requirements on a DCCKI Authorised Subscriber which accesses, or is seeking to access, the DCCKI Service.”;
- (iii) in the heading preceding Section L13.43, after "Signing Requests" delete "and Personnel Authentication Certificate Applications" and insert "and Personnel Authentication Certificate Applications";

- (iv) in Section L13.43, after "Signing Request" delete "and each Personnel Authentication Certificate Application" and insert "and each Personnel Authentication Certificate Application";
- (v) in Section L13.44, after "Signing Request" delete "or Personnel Authentication Certificate Application" and insert "or Personnel Authentication Certificate Application";
- (vi) in Section L13.44(b), after "Signing Request" delete "or Personnel Authentication Certificate Application" and insert "or Personnel Authentication Certificate Application"; and
- (vii) delete existing Section L13.45 and insert new Section L13.45 as follows –

"L13.45 Where any DCCKI Certificate is Issued to a DCCKI Eligible Subscriber in response to a DCCKI Certificate Signing Request, or any Personnel Authentication Certificate is Issued to a DCCKI Eligible Subscriber in response to a Personnel Authentication Certificate Application, that DCCKI Eligible Subscriber shall:

- (a) establish whether the information contained in that DCCKI Certificate or Personnel Authentication Certificate is consistent with information that was contained in the DCCKI Certificate Signing Request or Personnel Authentication Certificate Application (as the case may be);
- (b) if it identifies that the DCCKI Certificate or Personnel Authentication Certificate contains any information which is untrue or inaccurate immediately inform the DCC that it rejects the DCCKI Certificate or Personnel Authentication Certificate and give to the DCC its reasons for doing so; and
- (c) in the absence of any such rejection, become a DCCKI Subscriber for that DCCKI Certificate or Personnel Authentication Certificate."

33 In Section X –

- (a) in Section X1, after existing Section X1.18, insert new heading and Sections X1.19 and X1.20 as follows –

**"Developing ETAD for RDP Entry Process Tests**

X1.19 The DCC shall develop a revised Enduring Testing Approach Document which provides the detailed processes concerning the RDP Entry Process Tests in accordance with Section X1.20, such that the revised document can be re-designated pursuant to Section X5 (Incorporation of Certain Documents into this Code). The revisions shall include the following in respect of the RDP Entry Process Tests:

- (a) entry criteria for RDPs wishing to undertake the tests;
- (b) exit criteria demonstrating successful completion of the tests; and

- (c) the process for first exchanging between the RDP and the DCC a full set of the Data to be exchanged under Section E2 (Provision of Data).

X1.20 The procedure by which the DCC is to develop the revisions to the Enduring Testing Approach Document is as follows:

- (a) the DCC shall produce a draft by such date as the Secretary of State may direct;
- (b) in producing the draft, the DCC must consult appropriately with Parties and other interested persons;
- (c) where disagreements with the Parties arise concerning the proposed content of the draft, the DCC shall seek to reach an agreed solution with them, but without prejudice to the purposes of the document;
- (d) having complied with (b) and (c) above, the DCC shall submit the draft revisions to the Secretary of State as soon as is reasonably practicable, and in any case by such date as the Secretary of State may direct;
- (e) when submitting a draft under paragraph (d) above, the DCC shall indicate to the Secretary of State: (i) why the DCC considers the draft to be fit for purpose; (ii) copies of the consultation responses received; and (iii) any areas of disagreement that arose during the consultation process and that have not been resolved; and
- (f) the DCC must comply with the requirements with respect to process, timeframe and/or further development of content in any direction that is given by the Secretary of State regarding the draft document.";

(b) in Section X5 –

- (i) in Section X5.1, after "Secretary of State as the" delete "Smart Metering Technical Specification in accordance with paragraph 27(b)" and insert "Smart Metering Equipment Technical Specifications in accordance with Part G of";
- (ii) in Section X5.2, after "in accordance with" delete "paragraph 27(b)" and insert "Part G";
- (iii) in Section X5.3, after "in accordance with" delete "paragraph 27(c)" and insert "Part G";
- (iv) in Section X5.4, after "in accordance with" delete "paragraph 27(d)" and insert "Part G";
- (v) in Section X5.5, before "of Condition 22" delete "Paragraph 28(b)" and insert "Paragraph 29(b)"; and
- (vi) in Section X5.6, before "of Condition 22" delete "Paragraph 29" and insert "Paragraph 30"; and

(c) after existing Section X10, insert new Section X11 as follows –

## **"X11 SECRETARY-OF-STATE-LED VARIATIONS**

### **Overview**

X11.1 This Section X11 applies in respect of variations to this Code which the Secretary of State has the power to make under statute, Energy Licences and/or other provisions of this Code, and provides for a testing process to be followed in respect of such variations. References in this Section X11 to proposed variations includes variations which the Secretary of State is considering, is consulting on or has decided upon but not yet fully implemented.

### **Optional Analysis**

X11.2 Where the Secretary of State so directs from time to time in respect of one or more proposed variations to this Code, the DCC shall analyse and report to the Secretary of State on the matters set out in that direction in accordance with the process and timescale set out in that direction. Such matters may include, without limitation:

- (a) the extent to which changes would be required to the DCC Total System were the proposed variation to be made; and/or
- (b) the likely development, capital and operating costs associated with such changes, and any consequential impact on the Charges.

### **SEC Variation Testing Approach Document**

X11.3 Each SEC Variation Testing Approach Document is to be developed by the DCC pursuant to this Section X11, and then incorporated into this Code pursuant to Section X5 (Incorporation of Certain Documents into this Code).

X11.4 Where the Secretary of State so directs from time to time in respect of one or more proposed variations to this Code, the DCC shall develop a draft SEC Variation Testing Approach Document in respect of those proposed variations. The DCC shall develop that document in accordance with the timetable directed by the Secretary of State, in consultation with such other persons (if any) as the Secretary of State may direct, and otherwise in accordance with any process that the Secretary of State may direct.

X11.5 Each draft SEC Variation Testing Approach Document produced by the DCC shall set out the following in respect of the proposed variation(s), which must be consistent with any directions concerning the same made by the Secretary of State:

- (a) the testing objectives;
- (b) the testing to be undertaken;
- (c) the testing environments to be used;
- (d) the timetable for testing;
- (e) the entry criteria for the start of testing or for the start of testing

phases;

- (f) the persons other than the DCC that are entitled or obliged to participate in testing;
- (g) the entry criteria for the testing participants and the DCC;
- (h) roles, responsibilities and obligations of the DCC and of the testing participants in respect of testing;
- (i) the process for making amendments to the document, which shall include amendments directed by the Secretary of State;
- (j) the process for resolving disputes under the document;
- (k) the exit criteria for completion of testing (or stages of testing); and
- (l) the process by which testing will be determined to be complete.

X11.6 The DCC shall submit each draft SEC Variation Testing Approach Document to the Secretary of State, indicating:

- (a) why the DCC considers the draft to be fit for purpose;
- (b) copies of the consultation responses received; and
- (c) any areas of disagreement that arose during the consultation process and that have not been resolved,

and, the DCC shall comply with any direction given by the Secretary of State to re-consider, re-consult and/or re-submit the draft document.

#### **Compliance with SEC Variation Testing Approach Document**

X11.7 The DCC and each person other than the DCC that participates in (or is required to participate in) testing under a SEC Variation Testing Approach Document shall comply with the SEC Variation Testing Approach Document.

X11.8 Section H14 (Testing Services) and the Enduring Testing Approach Document shall apply in respect of testing under a SEC Variation Testing Approach Document as if such testing was a Testing Service under Section H14.34 (Modification Implementation Testing); and each participant in such testing shall be deemed to be a Testing Participant for such purposes."

34 In Appendix Q, in Annex A –

- (a) in paragraph (f) of the definition of "Eligible Subscriber", after "IKI File Signing" delete "Certificate" and insert "Certification"; and
- (b) insert in alphabetical order the following new definitions –

**"File Signing** means a Certificate Issued by the IKI File Signing Certification



**Certificate** Authority.

**IKI Certificate Revocation List (IKI CRL)** means a certificate revocation list issued by the Issuing ICA."

35 In Appendix X, in the definition of "Issuer", after "that term in the" delete "Organisation Certificate Policy" and insert "DCCKI Interface Design Specification".

### **Modifications to the smart meter communication licences**

36 The conditions of the smart meter communication licences are modified, in accordance with paragraphs 37 to 39 below, with effect from the day after the day on which this instrument is made.

37 In Condition 1, in paragraph 1.4 –

(a) delete the existing definitions of "Smart Metering Equipment Technical Specification (or SME Technical Specification)", "Smart Metering System", and "Valid";

(b) insert in alphabetical order the following new definitions –

**"Compatible** in respect of a Version of a Technical Specification, means compatible, in accordance with the meaning given to that expression in Section F2.12 of the Smart Energy Code, with a Version of any other Technical Specification as identified in the matrix created and published by the SEC Panel pursuant to Section F2.11 of the Smart Energy Code.

**Installation Validity Period** has the meaning that is given to that term in the Smart Energy Code.

**Maintenance Validity Period** has the meaning that is given to that term in the Smart Energy Code.

**Smart Metering Equipment Technical Specification (or SME Technical Specification)** means the document set out in Schedule 9 of the Smart Energy Code.

**Smart Metering System** has the meaning that is given to that term:

(a) in relation to the supply of electricity, in standard condition 1 (Definitions for standard conditions) of the licences granted, or treated as granted, under section 6(1)(d) of the 1989 Act; and

(b) in relation to the supply of gas, in standard condition 1 (Definitions for standard conditions) of the licences granted, or treated as granted, under section 7A(1) of the 1986 Act.

- Version** has the meaning given to it in the Smart Energy Code.";
- (c) in the existing definition of "Communications Hub", in the final paragraph –
- (i) after "a" delete "version of the CH Technical Specification which is Valid" and insert "Version of the CH Technical Specification which"; and
  - (ii) after "the provisions of the SEC" insert ", is within its Installation Validity Period";
- (d) in the existing definition of "HCALCS", after "given to that term" delete "on 10 February 2016";
- (e) in the existing definition of "HCALCS Technical Specification", after "given to that term " delete "on 10 February 2016";
- (f) in the existing definition "IHD Technical Specification", after "given to that term" delete "on 10 February 2016";
- (g) in the existing definition of "In-Home Display", after "given to that term" delete "on 10 February 2016";
- (h) in the existing definition of "Installation Date", after "given to that term" delete "on 10 February 2016";
- (i) in the existing definition of "PPMID", after "given to that term" delete "on 10 February 2016"; and
- (j) in the existing definition of "PPMID Technical Specification", after "given to that term" delete "on 10 February 2016".
- 38 In Condition 2, after existing paragraph 2.24, delete the heading "Part M: Technical Specifications" and existing paragraphs 2.25 to 2.31.
- 39 In Condition 17, in paragraph 17.21, delete existing sub-paragraph (b) and insert new sub-paragraph (b) as follows –
- "(b) take all reasonable steps to ensure that each such Communications Hub which is installed as a component of a Smart Metering System continues at all times to satisfy the requirements of a Version of the CH Technical Specification which is:
- (i) within its Maintenance Validity Period;
  - (ii) Compatible with the Version of the SME Technical Specification (being the part(s) of the SME Technical Specification identified as applying to 'Electricity Smart Metering Equipment' and to 'Gas Smart Metering Equipment') in accordance with which the Smart Metering System, of which it is a component, is maintained by the Energy Supplier; and
  - (iii) where at the premises at which the Smart Metering System is installed there is installed a HCALCS or a PPMID, Compatible with the Version of the HCALCS Technical Specification or the PPMID Technical Specification (as the case may be) in accordance with which that HCALCS or PPMID is maintained by the Energy Supplier; and".

*Name*

Minister of State

Date

Department for Business, Energy and Industrial Strategy