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DP279

‘June 2025 SEC Release & DUIS Housekeeping Changes’

Modification Report

Version 0.1

14 January 2025



About this document

This document is a Modification Report. It sets out the background, issue, solution, impacts, costs, implementation approach and progression timetable for this modification, along with any relevant discussions, views and conclusions.

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This document also has one annex:

- **Annex A** contains the redlined changes to the Smart Energy Code (SEC) required to deliver the Proposed Solution.

Contact

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1. Summary

This proposal has been raised by David Walsh from the Data Communications Company (DCC).

The Smart Energy Code Administrator and Secretariat (SECAS) maintains a log of typographical errors, cosmetic and other inconsistencies, omissions and other clarifications that are required to be corrected within SEC documentation. Any such instances that are identified by any party and notified to SECAS are placed on the log and are amended at an appropriate point. The Proposed Solution to this modification aims to address all the highlighted issues that are currently identified within SEC including Appendix AD 'DCC User Interface Specification' (DUIS) and housekeeping changes to SEC Appendix AW 'Performance Assurance Framework' and Appendix Q 'IKI Certificate Policy'.

This modification will have no direct impacts on any SEC Party but will give greater clarity and transparency to the SEC including the DUIS document. Implementation costs are limited to SECAS time and effort to update the SEC. Implementation is targeted for the June 2025 SEC Release. The rationale for implementing this modification into the June 2025 SEC Release is that this is when the next uplift to DUIS is due to take place.

This is a Self-Governance modification.

2. Issue

What are the current arrangements?

The current SEC Documents may contain minor errors which were either in the SEC from inception or introduced via various changes over the years since it was created. SECAS maintains a log of these errors, which have either identified by SECAS or notified to SECAS by other Parties.

The DCC User Interface Specification

The DUIS specifies the technical details of the DCC User Interface. It sets out mechanisms, formats, protocols, and other technical details necessary for DCC Users to send and receive communications to and from the DCC. The document is currently only updated at a maximum of once a year, either through a major (X+1.X) or minor (X.X+1) uplift. The latest version is DUIS v5.3, with v5.4 set to go live as part of the June 2025 SEC Release (26 June 2025). Therefore, any housekeeping associated with DUIS should be included in this modification.

What is the issue?

Any errors identified within the SEC make SEC documents harder to interpret and potentially lead to confusion or misunderstanding. The proposed housekeeping changes are listed below along with the specific amendments that are needed in this modification:

Summary of error	Impacted SEC Documents	Proposed change
Section 3.1 Table 18 – Service Request Matrix SRV4.8.3	SEC Appendix AD – DCC User Interface Specification (DUIS)	Amend SR Name 'Read Export Profile Data' to include under Eligible User Roles 'MDR'
Section 3.1 Table 18 – Service Request Matrix SRV 8.14.3	SEC Appendix AD – DCC User Interface Specification (DUIS)	Amend SR Name 'Communications Hub Status Update. – Fault Return' to include under Eligible User Roles 'RSA'
Section 3.1 Table 18 – Service Request Matrix SRV 8.14.4	SEC Appendix AD – DCC User Interface Specification (DUIS)	Amend SR Name 'Communications Hub Status Update – No Fault Return' to include under Eligible User Roles 'RSA'
Section 3.8.43.2 Specific Data Items for this Request Table 157	SEC Appendix AD – DCC User Interface Specification (DUIS)	Replace 'Import' with 'Export' for DSPReadInsantaneous-ImportRegister
Typo error on 1.4.7.14Active Firmware SRV 11.3	SEC Appendix AD – DCC User Interface Specification (DUIS)	Amend typographical error in 1.4.7.14 from 'if' to 'is'
Typo error on Section 3.8.27.2 Specific Data Items for this Request	SEC Appendix AD – DCC User Interface Specification (DUIS)	Amend typographical error in KAPublicSecurityCredentials from 'i.e.' to 'e.g'
Four instances of spelling error	SEC Appendix AD – DCC User Interface Specification (DUIS)	Correct spelling error of four instances of 'Smart Meter Inventory' to 'Smart Metering Inventory'
Six instances of typo error Section 3.8.124.4, Section 3.8.125.4 and Section 3.8.126.5	SEC Appendix AD – DCC User Interface Specification (DUIS)	Amend typographical error of the term 'Service Users' to 'Users'
Remove grammatical error Section 3.8.124.4 and Section 3.8.125.4	SEC Appendix AD – DCC User Interface Specification (DUIS)	Remove grammatical error from "Suspension" to Suspension
Grammatical error Section 1.4.7.13 Update Firmware SRV 11.1	SEC Appendix AD – DCC User Interface Specification (DUIS)	Remove additional full stop
Grammatical error Section 3.1 Table 18 Service Request Matrix	SEC Appendix AD – DCC User Interface Specification (DUIS)	Seven instances of where the 'Eligible User Roles' has merged into one line. Include the missing space
Grammatical error Section 3.6.3.4 DCC Alert Codes N51Table 41	SEC Appendix AD – DCC User Interface Specification (DUIS)	Remove the additional space
Grammatical error Section 3.8.111.3 Specific Validation for this Request	SEC Appendix AD – DCC User Interface Specification (DUIS)	Remove the additional line break
Grammatical error Section 3.8.112.3 Specific Validation for this Request	SEC Appendix AD – DCC User Interface Specification (DUIS)	Remove the additional line break

Grammatical error Section 3.8.124.3 Specific Validation for this Request	SEC Appendix AD – DCC User Interface Specification (DUIS)	Remove the additional line break
Typo error Section 3.8.125 Active Firmware	SEC Appendix AD – DCC User Interface Specification (DUIS)	Amend GBCS message code from Red to Black
Grammatical error Section 3.8.125.4 Additional DCC System Processing	SEC Appendix AD – DCC User Interface Specification (DUIS)	Remove the additional space
Grammatical error Section 3.8.126.5 Additional DCC System Processing	SEC Appendix AD – DCC User Interface Specification (DUIS)	Remove the additional space
Grammatical error Section 3.8.127.3 Specific Validation for this Request	SEC Appendix AD – DCC User Interface Specification (DUIS)	Remove the additional line break
Grammatical error Section 3.8.127.4 Specific Data Items in Response	SEC Appendix AD – DCC User Interface Specification (DUIS)	Remove the additional line break
Grammatical error Section 3.8.127.4 table 260a DSPWANMatrixResponse Definition	SEC Appendix AD – DCC User Interface Specification (DUIS)	Remove the additional line break
Section 3.9.1 Table 262	SEC Appendix AD – DCC User Interface Specification (DUIS)	The table cuts off in the middle leaving blank space, remove blank spaces
Section 7. Application of the Performance Management Technique	SEC Appendix AW – Performance Assurance Framework	Typographical error. Replace the word 'Management' with 'Assurance'
Section 8.1 (a) Annual Performance Assurance Report	SEC Appendix AW – Performance Assurance Framework	Typographical error. Replace the word 'PAC's' with 'PAB's'
5.3 Personnel Controls – 5.3.1 (B)	SEC Appendix Q – IKI Certificate Policy	Amend 5.3.1 (B) to include 'BS785B'

What is the impact this is having?

If these corrections are not resolved, the SEC will contain inconsistencies. Although these are typographical errors, cosmetic and other inconsistencies, omissions and other clarifications, leaving these in could cause confusion for Parties when using this document.

If these errors remain, it could make it harder for Parties to utilise SEC documents and make them harder to maintain, increasing the chance of further inconsistencies occurring in the future.

Impact on consumers

The identified errors do not impact consumers.

3. Solution

Proposed Solution

The Proposed Solution is to correct the errors and inconsistencies identified in the SEC through implementation of text only changes.

The proposed legal text changes can be found in Annex A.

4. Impacts

This section summarises the impacts that would arise from the implementation of this modification.

SEC Parties

SEC Party Categories impacted			
	Large Suppliers		Small Suppliers
	Electricity Network Operators		Gas Network Operators
	Other SEC Parties		DCC

There are no direct impacts on SEC Parties from this modification. All Parties will indirectly benefit from this modification as the SEC will have these errors and inconsistencies addressed.

DCC System

This modification does not impact the DCC Systems.

SEC and subsidiary documents

The following parts of the SEC will be impacted:

- Appendix AD 'DCC User Interface Specification'
- Appendix AW 'Performance Assurance Framework'
- Appendix Q 'IKI Certificate Policy'

Other Modifications in the June 2025 SEC Release will result in an uplift to the DUIS document. This will also result in consequential changes to SEC Schedule 11 'TS Applicability Tables' (TSAT) although this will be done as part of the June 2025 SEC Release regardless of this modification. This is the case for each of the Technical Specifications.

The changes to the SEC required to deliver the proposed solution can be found in Annex A.

Technical specification versions

The latest version is DUIS v5.3, with v5.4 set to go live as part of the June 2025 SEC Release (26 June 2025). The proposed changes this modification will make will be implemented into DUIS v5.4

Devices

This modification does not impact Devices.

Consumers

This modification does not impact consumers.

Other industry Codes

This modification does not impact other industry Codes.

Greenhouse gas emissions

This modification does not impact greenhouse gas emissions.

5. Costs

DCC costs

There are no DCC costs associated with this modification.

SECAS costs

The estimated SECAS implementation cost to implement this as a stand-alone modification is half a day of effort, amounting to approximately £300. This cost will be reassessed when combining this modification in a scheduled SEC Release. The activities needed to be undertaken for this are:

- Updating the SEC and releasing the new version to the industry.

SEC Party costs

There are no SEC Party costs associated with this modification.

6. Implementation approach

Recommended implementation approach

SECAS is recommending an implementation date of:

- **26 June 2025** (June 2025 SEC Release) if a decision to approve is received on or before 12 June 2025; or
- **25 June 2026** if a decision to approve is received after 12 June 2025, but at least 10 Working Days before the Release.

Implementation is targeted for the June 2025 SEC Release. The rationale for implementing this modification into the June 2025 SEC Release is that this is when the next uplift to DUIS is due to take place. If a decision is made after 12 June 2025, the modification will be implemented the next time an uplift to DUIS occurs.

7. Case for change

Business case

This modification will only incur the costs for SECAS time and effort and will address multiple inconsistencies and points of potential confusion or misinterpretation.

Views against the General SEC Objectives

Proposer's views

The Proposer believes that the modification will better facilitate SEC Objective (a)¹ as it will correct errors in the SEC and lead to less confusion or misinterpretation.

Views against the consumer areas

Improved safety and reliability

This modification will have a neutral impact on safety and reliability.

Lower bills than would otherwise be the case

This modification will have a neutral impact on consumer bills.

Reduced environmental damage

This modification will have a neutral impact on environmental damage.

¹ Facilitate the efficient provision, installation, operation and interoperability of smart metering systems at energy consumers' premises within Great Britain.

Improved quality of service

This modification will have a neutral impact on quality of service.

Benefits for society as a whole

This modification will have a neutral impact on benefits for society.

Final conclusions

This modification addresses multiple inconsistencies and points of potential confusion or misinterpretation. There are no DCC costs and only a minimal SECAS cost to implement.

Appendix 1: Progression timetable

Timetable	
Event/Action	Date
Draft Proposal raised	16 Jan 2025
Presented to CSC for initial comment	21 Jan 2025
CSC converted Draft Proposal to Modification Proposal	21 Jan 2025
<i>Modification Report approved by CSC</i>	<i>15 Apr 2025</i>
<i>Modification Report Consultation</i>	<i>17 Apr 2025 – 9 May 2025</i>
<i>Change Board Vote</i>	<i>21 May 2025</i>

Italics denote planned events that could be subject to change

Appendix 2: Glossary

This table lists all the acronyms used in this document and the full term they are an abbreviation for.

Glossary	
Acronym	Full term
DCC	Data Communications Company
DUIS	DCC User Interface Specification
MDR	Meter Data Retriever
PAB	Performance Assurance Board
RSA	Registered Supplier Agent
SEC	Smart Energy Code
SECAS	Smart Energy Code Administrator and Secretariat

Glossary	
Acronym	Full term
SRV	Service Reference Variant
TSAT	Technical Specification Applicability Tables

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Annex A

Legal text – version 0.1

About this document

This document contains the redlined changes to the SEC that would be required to deliver this Modification Proposal.

Appendix AD ‘DCC User Interface Specification’

These changes have been redlined against Appendix AD version 5.3.

Amend the following rows in the table in Section 3.1 as follows:

Service Request Name	Service Reference	Service Reference Variant	Critical	Modes of Operation				Eligible User Roles	Available in relation to SMETS1 Devices
				On Demand	Future Dated Response Pattern	DCC Scheduled	Non-Device Request		
Read Export Profile Data	4.8	4.8.3	No	Yes	DSP	Yes	No	ES ED <u>MDR</u> OU	Yes
Communications Hub Status Update - Fault Return	8.14	8.14.3	No	No	No	No	Yes	IS GS <u>RSA</u>	No
Communications Hub Status Update – No Fault Return	8.14	8.14.4	No	No	No	No	Yes	IS GS <u>RSA</u>	No

Amend Section 3.8.43.2 as follows:

3.8.43.2 Specific Data Items for this Request

CreateSchedule Definition

Data Item	Description / Valid Set	Type	Mandatory	Default	Units
ScheduleFrequency	The frequency of which the required service reference is executed Valid set - Daily - Weekly (The specified Service Request will be scheduled once a week, on the Schedule Start Date day of the week.) - Monthly (The specified Service Request will be scheduled once a month, on the Schedule Start Date day of the month, where possible. For those months where the Schedule Start Date day of the month doesn't exist, the Service Request will be scheduled on the last day of that month.) - Quarterly (The specified Service Request will be scheduled once every three months, with Scheduled Start Date as for Monthly.) - Half-Yearly (The specified Service Request will be scheduled once every six months, with Scheduled Start Date as for Monthly.) - Yearly (The specified Service Request will be scheduled once every 12 months, with Scheduled Start Date as for Monthly.)	sr:ScheduleFrequency (Restriction of xs:string (Enumeration))	Yes	None	N/A
ScheduleStartDate	The UTC date that the scheduled repeating request is required to commence from Valid date in the future	xs:date	Yes	None	UTC Date
ScheduleEndDate	The UTC date that the scheduled repeating request is required to cease, or if not present then the repeating schedule shall remain in force until deleted by the User or by the DCC Systems, e.g. because of Device Decommission Valid date in the future $\geq$ ScheduleStartDate	xs:date	User Role IS, GS, ES, ED, GT, MDR: No User Role OU: Yes	None	UTC Date

ScheduleExecutionStartTime	The UTC start time after which a scheduled Command (invoked by the schedule) may be run Valid Time	xs:time	No	00:01:00	UTC Time
KAPublicSecurityCredential	The Key Agreement Public Security Credentials, associated with the User submitting the Request that will be relied upon for Sensitive data Responses. Only applicable to those Scheduled Service Requests that can be submitted by User Roles for which the Device doesn't hold Security Credentials.	sr:Certificate (xs:base64Binary)	User Role IS, ES, ED: N/A User Role GT (where Response includes sensitive data and Device Type = Gas Smart Meter): Yes User Role MDR, OU (where Response includes sensitive data): Yes	None	N/A
DSPScheduledServiceReference	Reference of the Service Request to be Scheduled. Valid Set: see clause Error! Reference source not found.9 , where DCC Scheduled column in table is set to "Yes"	sr:DSPScheduledServiceReference (Restriction of xs:string (Enumeration))	Yes	None	N/A
DSPScheduledServiceReferenceVariant	Reference Variant of the Service Request to be Scheduled. Valid Set: see clause Error! Reference source not found.9 , where DCC Scheduled column in table is set to "Yes"	sr:DSPScheduledServiceReferenceVariant (Restriction of xs:string (Enumeration))	Yes	None	N/A
DeviceID	This is the Device ID to which the DCC Schedule is targeted.	sr:EUI (See clause Error! Reference source not found.Error! Reference source not found.)	Yes	None	N/A

Choice of Service Request XML Element to be Scheduled	Name and Request Data Items corresponding to DSPScheduledServiceReferenceVariant to be Scheduled, choice of:		Yes	None	N/A
	DSPRetrieveImportDailyReadLog DSPRetrieveExportDailyReadLog DSPReadActiveImportProfileData DSPReadReactiveImportProfileData DSPReadExportProfileData DSPReadNetworkData DSPReadPrepaymentDailyReadLog DSPRetrieveDailyConsumptionLog	sr:ReadLogPeriodOffset			
	DSPReadInstantaneous Export Import Registers DSPReadMaximumDemandImportRegisters DSPReadMaximumDemandExportRegisters DSPReadLoadLimitData DSPReadActivePowerImport	sr:DSPReadData			
	DSPRecordNetworkDataGAS	sr:RecordNetworkDataGAS			

Table 157 : CreateSchedule (sr:DSPSchedule) data items

Amend Section 1.4.7.14 as follows:

1.4.7.14 Activate Firmware SRV 11.3

This clause is a supplement to clause 3.8.125.

SRV 11.3 shall be supported for SMETS1 CHF, SMETS1 PPMIDs as well as SMETS1 Smart Meters.

In clause 3.8.125.4, where the target Device type is ~~is~~ SMETS1 CHF, then the additional DCC processing related to Firmware Version and Device Status updates shall also apply to the associated GPF.

Where the Service Request relates to a SMETS1 CHF or SMETS1 PPMID and the Business Originator ID does not relate to the Responsible Supplier for the SMETS1 ESME on the same home area network then the DCC shall return a Response containing an error code of E4 indicating failure.

Where the DCC produces a SMETS1 Response indicating successful activation of SMETS1 CHF or SMETS1 PPMID firmware, if there is, according to the Smart Metering Inventory, a GSME on the same home area network as that Device then the DCC shall issue a DCC Alert with code N57 to inform the Responsible Gas Supplier of the activation.

Amend Section 3.8.27.2 as follows:

3.8.27.2 *Specific Data Items for this Request*

The data items applicable depend on whether the Service Request is executed on an On Demand or DCC Scheduled basis.

For execution of this Service Request as an On Demand Service, the RetrieveImportDailyReadLog XML element defines this Service Request.

RetrieveImportDailyReadLog (On Demand) Definition

Data Item	Description / Allowable values	Type	Mandatory	Default	Units
ExecutionDateTime	A User shall only add this Data Item to the Service Request where they require the Service Request to be executed at a future date and time. The UTC date and time the User requires the command to be executed on the Device Date-time in the future that is either <= current date + 30 days or the date = '3000-12-31T00:00:00Z'	xs:dateTime	No	None	UTC Date-Time
ReadLogPeriod	The Start and End Date-Times for which the data is required	sr:ReadLogPeriod (see clause 3.10.1.14)	Yes	None	N/A
KAPublicSecurityC redentials	The Key Agreement Public Security Credentials (of the requesting party) to be used where the request is from an Unknown Remote Party (e.g. e. Old Responsible Supplier) with respect to the BusinessTargetID specified within the Service Request.	sr:Certificate (xs:base64Binary)	Responsible Supplier: N/A Old Responsible Supplier: Yes MDR: Yes Mandatory for User Roles IS/GS that do not have their credentials on the Device when sending the Service Request e.g. Old Suppliers	None	N/A

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Table 136 : RetrieveImportDailyReadLog (sr:ReadLogFutureDataAndURPCredentials) data items

Amend Section 3.8.111.3 to the following:

3.8.111.3 Specific Validation for this Request

See clause 3.2.5 for general validation applied to all Requests and clause 3.10.2 for ‘Other Device’ Existence validation.

Response Code	Response Code Description
E080801	This Response Code is not used. The DCC Systems Smart Metering Inventory is no longer checked for the join status of the ‘Other Device’

3.8.112.3 Specific Validation for this Request

See clause 3.2.5 for general validation applied to all Requests and clause 3.10.2 for ‘Other Device’ Existence validation.

Response Code	Response Code Description
E080801	This Response Code is not used. The DCC Systems Smart Metering Inventory is no longer checked for the join status of the ‘Other Device’
E080821	The User Role is not authorised to Unjoin this Device Type
E080822	The User is not authorised to Unjoin these Gas Smart Meter / Gas Proxy Function

3.8.123.3 Specific Validation for this Request

See clause 3.2.5 for general validation applied to all Requests.

For this Service Request and as an exception, the Authorisation Check associated to E5 allows the Device’s SMI Status to be ‘Suspended’

Response Code	Response Code Description
E110101	The Firmware Version is not approved. The Firmware version ID does not align with an entry on the Central Products List.
W110101	The Update Firmware Warning contains between one and five lists of Device IDs for which the validation failed for each DeviceID: - InvalidDeviceIDList . The DeviceID does not exist or the User is not the Meter or HCALCS Import Supplier - NotCommissionedDeviceIDList. The Meter status is not 'Commissioned' or 'Suspended' or the Device is not a Meter or a HCALCS - NotApplicableFirmwareDeviceIDList. The Firmware Version is not applicable to the Device - OtherRequestsInProgressList. The Device already has another Firmware update request in progress.InvalidGBCSVersionList. The CHF associated with the HCALCS Device has a GBCS Version prior to v4.1,or the HCALCS Device currently has a GBCS Version that is prior to v4.1.
E110102	The firmware is not marked as active in the Central Products List and Smart Metering Inventory.
E110103	The DCC Systems calculated Hash value over the Manufacturer Image part of the FirmwareImage provided by the User within the Service Request differs from that held in the CPL for the specified FirmwareVersion.
E110105	The firmware image is not constructed as per the GBCS definition, i.e. the FirmwareImage does not contain both an OTA Header and a Firmware Image

3.8.126.3 Specific Validation for this Request

See clause 3.2.5 for general validation applied to all Requests.

For this Service Request and as an exception, the Authorisation Check associated to E5 allows the Device's SMI Status to be 'Suspended'

Response Code	Response Code Description
E110401	The Firmware Version is not approved. The Firmware version ID does not align with an entry on the Central Products List.
W110401	The Update Firmware Warning contains between one and five lists of Device IDs for which the validation failed for each DeviceID: - InvalidDeviceIDList . The DeviceID does not exist or the User is not the Import Supplier or Gas Supplier for a Meter connected to the same HAN as the PPMID. - NotCommissionedDeviceIDList. The PPMID status is not ‘Commissioned’ or ‘Suspended’ or the Device is not a PPMID. - NotApplicableFirmwareDeviceIDList. The Firmware Version is not applicable to the PPMID - OtherRequestsInProgressList. The PPMID already has another Firmware update request in progress. - InvalidGBCSVersionList. The CHF associated with the PPMID Device has a GBCS Version prior to v4.1.
E110402	The firmware is not marked as active in the Central Products List and Smart Metering Inventory.
E110403	The DCC Systems calculated Hash value over the Manufacturer Image part of the FirmwareImage provided by the User within the Service Request differs from that held in the CPL for the specified FirmwareVersion.
E110405	The firmware image is not constructed as per the GBCS definition, i.e. the FirmwareImage does not contain both an OTA Header and a Firmware Image concatenated together, or the Length of the base64 encoded version of the GBCS defined Firmware “OTA Upgrade Image” exceeds 1024000.

Amend ‘Service Users to ‘Users’ to the following:

3.8.124.4 Additional DCC System Processing

Upon receipt of a Response to this Service Request containing a Firmware Version value:

- if the Target Device Type is ESME, GSME, HCALCS, PPMID or CHF and the Firmware Version returned by the Device matches an entry on the CPL for that Device Model, but is different from that stored in the SMI, the DCC Systems shall update the Firmware Version in the SMI to the value returned by the Device. Note that updating the Firmware Version may also update the Device’s GBCS Version in the SMI.
 - o If the target Device is CHF, the associated GPF Firmware Version shall also be updated.
 - o If the Firmware Version entry on the CPL for that Device Model has a status of “Current” and the Read Firmware Version Service Request was not

submitted by the Responsible Supplier, DCC Alert N49 shall be sent to the Responsible Supplier.

- o If the Firmware Version entry on the CPL for that Device Model has a status of “Removed”, the SMI Firmware Version shall be updated, and the Device Status shall be set to ‘Suspended’ (where the target Device is CHF, the associated GPF Device Status shall also be set to ‘Suspended’). In this case DCC Alert N50 shall be sent to the Responsible Supplier . In addition, DCC Alert N28 will be sent to the Responsible Supplier and to the Electricity Distributor or Gas Transporter to notify the “Suspension” of the Device. All DSP Future Dated and Scheduled Service Requests shall be deleted for the ‘Suspended’ Device(s) and DCC Alerts N40 and N41 will be sent to the ~~Service~~ Users responsible for those Service Requests.
- o Where the DeviceFirmwareVersion for the specified Device is now the current valid version, and the Device Status was ‘Suspended’ and the Firmware Version returned by the Device matches an entry on the CPL for that Device Model with a status of “Current”, the DCC Systems shall update the Device Status to the status it held immediately prior to its “Suspension” and DCC Alert N29 will be sent to the Responsible Supplier and to the Electricity Distributor or Gas Transporter.
- if the Target Device Type is ESME, GSME, HCALCS, PPMID or CHF and the Firmware Version returned by the Device does not match an entry on the CPL for that Device Model, but is different from that stored in the SMI, DCC Alert N51 will be sent to the Responsible Supplier and the SMI Firmware Version will be updated with the Firmware Version returned by the Device. The Device’s GBCS Version in the SMI will not be updated since there is no CPL entry on which to base an update.
 - o As there is no entry on the CPL, the Device Status of the Device shall be set to ‘Suspended’ and an additional DCC Alert N28 shall be sent to the Responsible Supplier and to the Electricity Distributor or Gas Transporter.
 - o If the target Device is CHF, the associated GPF Firmware Version shall also be updated and the GPF Device Status shall also be set to ‘Suspended’.
 - o All DSP Future Dated and Scheduled Service Requests shall be deleted for the ‘Suspended’ Device(s) and DCC Alerts N40 and N41 will be sent to the ~~Service~~ Users responsible for those Service Requests.

3.8.125.4 Additional DCC System Processing

The DCC Systems shall monitor all Responses received to this Service Request.

Where the DCC identifies any Response where the current Firmware Version returned by the Device matches an entry on the CPL for that Device Model and that Firmware Version is different to the value currently held in the Smart Metering Inventory for that Device, an update to the Smart Metering Inventory shall be made by the DCC.

The DCC Systems shall update the DeviceFirmwareVersion data item within the Smart Metering Inventory to record the new DeviceFirmwareVersion value for the specified Device ID received in the Response. Where the DeviceFirmwareVersion for the specified Device is now the current valid version, and the Device Status was 'Suspended' and the Firmware Version returned by the Device matches an entry on the CPL for that Device Model with a status of "Current" the DCC Systems shall update the Device Status to the status it held immediately prior to its "Suspension" and DCC Alert N29 will be sent to the Responsible Supplier and to the Electricity Distributor or Gas Transporter.

If the Firmware Version returned by the Device matches an entry on the CPL for that Device Model with a status of "Removed", the SMI Firmware Version will be updated, and the Device Status will be set to 'Suspended'. In this case DCC Alert N50 will be sent to the Responsible Supplier. In addition, DCC Alert N28 will be sent to the Responsible Supplier and to the Electricity Distributor or Gas Transporter to notify the "Suspension" of the Device. All DSP Future Dated and Scheduled Service Requests shall be deleted for the 'Suspended' Device(s) and DCC Alert N40 and N41 will be sent to the ~~Service~~-Users responsible for those Service Requests.

If the Firmware Version returned by the Device is invalid (doesn't match an entry on the CPL for that Device Model) and that Firmware Version is different to the value currently held in the Smart Metering Inventory for that Device, DCC Alert N51 will be sent to the Responsible Supplier and the Smart Metering Inventory Firmware Version will be updated with the Firmware Version returned by the Device. As there is no entry on the CPL, the Device Status of the Device will be set to 'Suspended' and an additional DCC Alert N28 will be sent to the Responsible Supplier and to the Electricity Distributor or Gas Transporter. All DSP Future Dated and Scheduled Service Requests shall be deleted for the 'Suspended' Device and DCC Alerts N40 and N41 will be sent to the ~~Service~~-Users responsible for those Service Requests.

3.8.126.5 Additional DCC System Processing

The DCC Systems shall calculate a Hash over the Manufacturer Image part of the FirmwareImage provided by the User within the Service Request and ensure that the Hash calculated matches that held in the CPL for the specified FirmwareVersion. Where the DCC identifies any mismatch in Hash values, a Response Code of E110403 shall be returned to the User.

The DCC Systems shall monitor all Device Alerts received from the PPMID indicating the activation outcome (Alert Code 0x8F8B) received as a consequence of sending this Service Request.

Where the DCC identifies any Device Alert where the current Firmware Version returned by the Device matches an entry on the CPL for that Device Model and that Firmware Version is different to the value currently held in the Smart Metering Inventory for that Device, an update to the Smart Metering Inventory shall be made by the DCC.

The DCC Systems shall update the DeviceFirmwareVersion data item within the Smart Metering Inventory to record the new DeviceFirmwareVersion value for the specified Device ID received in the Response. Where the DeviceFirmwareVersion for the specified Device is now the current valid version, and the Device Status was ‘Suspended’ and the Firmware Version returned by the Device matches an entry on the CPL for that Device Model with a status of “Current” the DCC Systems shall update the Device Status to the status it held immediately prior to its “Suspension” and DCC Alert N29 will be sent only to the Responsible Supplier.

If the Firmware Version returned by the Device matches an entry on the CPL for that Device Model with a status of “Removed”, the SMI Firmware Version will be updated, and the Device Status will be set to ‘Suspended’. In this case DCC Alert N50 will be sent to the Responsible Supplier. In addition, DCC Alert N28 will be sent only to the Responsible Supplier to notify the “Suspension” of the

be deleted for the ‘Suspended’ Device and DCC Alerts N40 and N41 will be sent to the ~~Service~~ Users responsible for those Service Requests.

If the Firmware Version returned by the Device is invalid (doesn’t match an entry on the CPL for that Device Model), and that Firmware Version is different to the value currently held in the Smart Metering Inventory for that Device, DCC Alert N51 will be sent to the Responsible Supplier and the Smart Metering Inventory Firmware Version will be updated with the Firmware Version returned by the Device. As there is no entry on the CPL, the Device Status of the Device will be set to ‘Suspended’ and an additional DCC Alert N28 will be sent only to the Responsible Supplier. All DSP Future Dated Service Requests shall be deleted for the ‘Suspended’ Device and DCC Alerts N41 will be sent to the ~~Service~~ Users responsible for those Service Requests.

Amend Section 3.8.124.4 to the following:

3.8.124.4 Additional DCC System Processing

Upon receipt of a Response to this Service Request containing a Firmware Version value:

- if the Target Device Type is ESME, GSME, HCALCS, PPMID or CHF and the Firmware Version returned by the Device matches an entry on the CPL for that Device Model, but is different from that stored in the SMI, the DCC Systems shall update the Firmware Version in the SMI to the value returned by the Device. Note that updating the Firmware Version may also update the Device’s GBCS Version in the SMI.

- o If the target Device is CHF, the associated GPF Firmware Version shall also be updated.
- o If the Firmware Version entry on the CPL for that Device Model has a status of “Current” and the Read Firmware Version Service Request was not submitted by the Responsible Supplier, DCC Alert N49 shall be sent to the Responsible Supplier.
- o If the Firmware Version entry on the CPL for that Device Model has a status of “Removed”, the SMI Firmware Version shall be updated, and the Device Status shall be set to ‘Suspended’ (where the target Device is CHF, the associated GPF Device Status shall also be set to ‘Suspended’). In this case DCC Alert N50 shall be sent to the Responsible Supplier . In addition, DCC Alert N28 will be sent to the Responsible Supplier and to the Electricity Distributor or Gas Transporter to notify the “Suspension” of the Device. All DSP Future Dated and Scheduled Service Requests shall be deleted for the ‘Suspended’ Device(s) and DCC Alerts N40 and N41 will be sent to the Service Users responsible for those Service Requests.
- o Where the DeviceFirmwareVersion for the specified Device is now the current valid version, and the Device Status was ‘Suspended’ and the Firmware Version returned by the Device matches an entry on the CPL for that Device Model with a status of “Current”, the DCC Systems shall update the Device Status to the status it held immediately prior to its “Suspension” and DCC Alert N29 will be sent to the Responsible Supplier and to the Electricity Distributor or Gas Transporter.

3.8.125.4 Additional DCC System Processing

The DCC Systems shall monitor all Responses received to this Service Request.

Where the DCC identifies any Response where the current Firmware Version returned by the Device matches an entry on the CPL for that Device Model and that Firmware Version is different to the value currently held in the Smart Metering Inventory for that Device, an update to the Smart Metering Inventory shall be made by the DCC.

The DCC Systems shall update the DeviceFirmwareVersion data item within the Smart Metering Inventory to record the new DeviceFirmwareVersion value for the specified Device ID received in the Response. Where the DeviceFirmwareVersion for the specified Device is now the current valid version, and the Device Status was ‘Suspended’ and the Firmware Version returned by the Device matches an entry on the CPL for that Device Model with a status of “Current” the DCC Systems shall update the Device Status to the status it held immediately prior to its “Suspension” and DCC Alert N29 will be sent to the Responsible Supplier and to the Electricity Distributor or Gas Transporter.

If the Firmware Version returned by the Device matches an entry on the CPL for that Device Model with a status of “Removed”, the SMI Firmware Version will be updated, and the Device Status will be set to ‘Suspended’. In this case DCC Alert N50 will be sent to the Responsible Supplier. In addition, DCC Alert N28 will be sent to the Responsible Supplier and to the Electricity Distributor or Gas Transporter to notify the “Suspension” of the Device. All DSP Future Dated and Scheduled Service Requests shall be deleted for the ‘Suspended’ Device(s) and DCC Alert N40 and N41 will be sent to the Service Users responsible for those Service Requests.

If the Firmware Version returned by the Device is invalid (doesn’t match an entry on the CPL for that Device Model) and that Firmware Version is different to the value currently held in the Smart Metering Inventory for that Device, DCC Alert N51 will be sent to the Responsible Supplier and the Smart Metering Inventory Firmware Version will be updated with the Firmware Version returned by the Device. As there is no entry on the CPL, the Device Status of the Device will be set to ‘Suspended’ and an additional DCC Alert N28 will be sent to the Responsible Supplier and to the Electricity Distributor or Gas Transporter. All DSP Future Dated and Scheduled Service Requests shall be deleted for the ‘Suspended’ Device and DCC Alerts N40 and N41 will be sent to the Service Users responsible for those Service Requests.

Amend Section 1.4.7.13 to the following:

1.4.7.13 Update Firmware SRV 11.1

This clause is a supplement to clause 3.8.123.

SRV 11.1 shall be supported for SMETS1 CHF and SMETS1 PPMIDs as well as Smart Meters, and the processing in clause 3.8.123.5 shall apply.

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Following the receipt by DCC of a successfully authenticated Update Firmware Service Request to distribute firmware to a SMETS1 CHF or SMETS1 PPMID, if there is, according to the Smart Metering Inventory, a GSME on the same home area network as that Device then the DCC shall issue DCC Alert with code N57 to inform the Gas Supplier of the Service Request.

Amend Service Requests on Table 18 Service Request Matrix to the following:

Service Request Name	Service Reference	Service Reference Variant	Critical	Modes of Operation				Eligible User Roles	Available in relation to SMETS1 Devices
				On Demand	Future Dated Response Pattern	DCC Scheduled	Non-Device Request		
Read Device Configuration (Event and Alert Behaviours)	6.2	6.2.10	No	Yes	No	No	No	IS GS ED	No
Set CHF Sub GHz Configuration	6.28	6.28	No	Yes	No	No	No	IS GS	No
Request CHF Sub GHz Channel Scan	6.29	6.29	No	Yes	No	No	No	IS GS	No
Read CHF Sub GHz Configuration	6.30	6.30	No	Yes	No	No	No	IS GS RSA	No
Read CHF Sub GHz Channel	6.31	6.31	No	Yes	No	No	No	IS GS RSA	No
Read CHF Sub GHz Channel Log	6.32	6.32	No	Yes	No	No	No	IS GS RSA	No
Read Inventory <i>(Current and Future Suppliers may use this Service Request)</i>	8.2	8.2	No	No	No	No	Yes	IS ES GS RSA ED GT MDR OU	

Amend Section 3.6.3.4 Table 41 N51 to the following:

3.6.3.4 DCC Alert Codes

DCC Alert Code	Alert Name	Event	Trigger	DCC Alert Recipient	Device Applicability
N51	Invalid Firmware Version	Device's Firmware Version is unknown (not in the CPL) Device's Firmware Version updated in the Smart Metering Inventory and Device Status set to 'Suspended'	Upon successful completion of Service Request 11.2 Read Firmware Version where the target Device is an ESME, GSME, HCALCS, PPMID or-, CHF and the Firmware Version returned by the Device is different from that in the SMI and it doesn't match an entry on the CPL OR Upon completion of Service Request 11.3 Activate Firmware where the Firmware Version returned by the Device is different from that in the SMI and it doesn't match an entry on the CPL OR Future Dated Firmware Activation Alert (Alert Code 0x8F66 or 0x8F67 and Message Code 0x00CA) received by the DCC Systems where the Firmware Version returned by the Device is different from that in the SMI and it doesn't match an entry on the CPL OR PPMID Firmware Activation Alert (Alert Code 0x8F8B) received by the DCC Systems where the Firmware Version returned by the Device is different from that in the SMI and it doesn't match an entry on the CPL	IS GS	All

Amend Section 3.8.111.3 to the following:

3.8.111.3 Specific Validation for this Request

See clause 3.2.5 for general validation applied to all Requests and clause 3.10.2 for ‘Other Device’ Existence validation.

Response Code	Response Code Description
E080801	This Response Code is not used. The DCC Systems Smart Meter Inventory is no longer checked for the join status of the ‘Other Device’

Amend Section 3.8.112.3 to the following:

3.8.112.3 Specific Validation for this Request

See clause 3.2.5 for general validation applied to all Requests and clause 3.10.2 for ‘Other Device’ Existence validation.

Response Code	Response Code Description
E080801	This Response Code is not used. The DCC Systems Smart Meter Inventory is no longer checked for the join status of the ‘Other Device’
E080821	The User Role is not authorised to Unjoin this Device Type
E080822	The User is not authorised to Unjoin these Gas Smart Meter / Gas Proxy Function

Amend Section 3.8.124.3 to the following:

3.8.124.3 Specific Validation for this Request

See clause 3.2.5 for general validation applied to all Requests and clause 3.10.2 for Execution Date Time validation.

For this Service Request and as an exception, the Authorisation Check associated to E5 allows the Device’s SMI Status to be ‘Suspended’.

Amend Section 3.8.125 as follows:

3.8.125 Active Firmware

3.8.125.1		Service Description	
Service Request Name	ActivateFirmware		
Service Reference	11.3		
Service Reference Variant	11.3		
Eligible Users	Import Supplier (IS) Gas Supplier (GS)		
Security Classification	Critical		
BusinessTargetID - Device Type applicable to this request	Electricity Smart Meter (ESME) Gas Smart Meter (GSME) HAN Connected Auxiliary Load Control Switch (HCALCS)		
Can be future dated?	Device		
On Demand?	Yes		
Capable of being DCC Scheduled?	No		
Command Variants applicable to this Request - (Only one populated)	For Service Request 4 – Transform For Signed Pre-Commands, choice of: 5 - Send (Critical) 6 - Return for local delivery (Critical) 7 - Send and Return for local delivery (Critical)		
Common Header Data Items	See clause 3.4.1.1		
Data Items Specific to this Service Request	See Specific Data Items Below		
Possible responses from this Service Request	These are the possible responses applicable to this Service Request. Please see clause 3.5 for more details on processing patterns - Acknowledgement - Response to Transform Request – PreCommand Format - Service Response from Device – GBCSPayload - Service Response (from Device) – FutureDatedDeviceAlertMessage - Response to a Command for Local Delivery Request – LocalCommand Format Also see Response Section below for details specific to this Request		
Response Codes possible from this Service Request	See clause 3.5.10 for Common Response Codes		
GBCS Cross Reference	Electricity (ESME)	Gas	Electricity (HCALCS)
GBCS version earlier than v4.1 MessageCode	0x0012	0x0012	N/A
GBCS version earlier than v4.1 Use Case	CS06	CS06	N/A
GBCS v4.1 or later MessageCode	0x0012	0x0012	0x0012
GBCS v4.1 or later	CS06	CS06	CS06

Managed by

Use Case			
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Amend Section 3.8.125.4 to the following:

3.8.125.4 Additional DCC System Processing

The DCC Systems shall monitor all Responses received to this Service Request.

Where the DCC identifies any Response where the current Firmware Version returned by the Device matches an entry on the CPL for that Device Model and that Firmware Version is different to the value currently held in the Smart Metering Inventory for that Device, an update to the Smart Metering Inventory shall be made by the DCC.

The DCC Systems shall update the DeviceFirmwareVersion data item within the Smart Metering Inventory to record the new DeviceFirmwareVersion value for the specified Device ID received in the Response. Where the DeviceFirmwareVersion for the specified Device is now the current valid version, and the Device Status was ‘Suspended’ and the Firmware Version returned by the Device matches an entry on the CPL for that Device Model with a status of “Current” the DCC Systems shall update the Device Status to the status it held immediately prior to its “Suspension” and DCC Alert N29 will be sent to the Responsible Supplier and to the Electricity Distributor or Gas Transporter.

If the Firmware Version returned by the Device matches an entry on the CPL for that Device Model with a status of “Removed”, the SMI Firmware Version will be updated, and the Device Status will be set to ‘Suspended’. In this case DCC Alert N50 will be sent to the Responsible Supplier. In addition, DCC Alert N28 will be sent to the Responsible Supplier and to the Electricity Distributor or Gas Transporter to notify the “Suspension” of the Device. All DSP Future Dated and Scheduled Service Requests shall be deleted for the ‘Suspended’ Device(s) and DCC Alert N40 and N41 will be sent to the Service Users responsible for those Service Requests.

If the Firmware Version returned by the Device is invalid (doesn’t match an entry on the CPL for that Device Model) and that Firmware Version is different to the value currently held in the Smart Metering Inventory for that Device, DCC Alert N51 will be sent to the Responsible Supplier and the Smart Metering Inventory Firmware Version will be updated with the Firmware Version returned by the Device. As there is no entry on the CPL, the Device Status of the Device will be set to ‘Suspended’ and an additional DCC Alert N28 will be sent to the Responsible Supplier and to the Electricity Distributor or Gas Transporter. All DSP Future Dated and Scheduled Service Requests shall be deleted for the ‘Suspended’ Device and DCC Alerts N40 and N41 will be sent to the Service Users responsible for those Service Requests.

Amend Section 3.8.126.5 to the following:

3.8.126.5 *Additional DCC System Processing*

The DCC Systems shall calculate a Hash over the Manufacturer Image part of the FirmwareImage provided by the User within the Service Request and ensure that the Hash calculated matches that held in the CPL for the specified FirmwareVersion. Where the DCC identifies any mismatch in Hash values, a Response Code of E110403 shall be returned to the User.

The DCC Systems shall monitor all Device Alerts received from the PPMID indicating the activation outcome (Alert Code 0x8F8B) received as a consequence of sending this Service Request.

Where the DCC identifies any Device Alert where the current Firmware Version returned by the Device matches an entry on the CPL for that Device Model and that Firmware Version is different to the value currently held in the Smart Metering Inventory for that Device, an update to the Smart Metering Inventory shall be made by the DCC.

The DCC Systems shall update the DeviceFirmwareVersion data item within the Smart Metering Inventory to record the new DeviceFirmwareVersion value for the specified Device ID received in the Response. Where the DeviceFirmwareVersion for the specified Device is now the current valid version, and the Device Status was ‘Suspended’ and the Firmware Version returned by the Device matches an entry on the CPL for that Device Model with a status of “Current” the DCC Systems shall update the Device Status to the status it held immediately prior to its “Suspension” and DCC Alert N29 will be sent only to the Responsible Supplier.

If the Firmware Version returned by the Device matches an entry on the CPL for that Device Model with a status of “Removed”, the SMI Firmware Version will be updated, and the Device Status will be set to ‘Suspended’. In this case DCC Alert N50 will be sent to the Responsible Supplier. In addition, DCC Alert N28 will be sent only to the Responsible Supplier to notify the “Suspension” of the Device. All DSP Future Dated and Scheduled Service Requests shall be deleted for the ‘Suspended’ Device and DCC Alerts N40 and N41 will be sent to the Service Users responsible for those Service Requests.

If the Firmware Version returned by the Device is invalid (doesn’t match an entry on the CPL for that Device Model), and that Firmware Version is different to the value currently held in the Smart Metering Inventory for that Device, DCC Alert N51 will be sent to the Responsible Supplier and the Smart Metering Inventory Firmware Version will be updated with the Firmware Version returned by the Device. As there is no entry on the CPL, the Device Status of the Device will be set to ‘Suspended’ and an additional DCC Alert N28 will be sent only to the Responsible Supplier. All DSP Future Dated Service Requests shall be deleted for the ‘Suspended’ Device and DCC Alerts N41 will be sent to the Service Users responsible for those Service Requests.

Amend Section 3.8.127.3 to the following:

3.8.127.3 Specific Validation for this Request

See clause 3.2.5 for general validation applied to all Requests.

For this Request, the general Authorisation Checks as defined below shall not be carried out.

- a Response Code of E4 as defined in clause 3.2.4 “Verify that the User, in the User Role defined in the Service Request is a Eligible User for the Device” or
- a Response Code of E5 as defined in clause 3.2.4 “Verify that the Service Request or Signed Pre-Command is applicable to the Device status”

Amend Section 3.8.127.4 to the following

3.8.127.4 Specific Data Items in the Response

This Service Response is defined in the XSD ResponseMessage DSPWANMatrix element, which contains the SM WAN connectivity details.

Request WAN Matrix Service Request Response Data Items

DSPWANMatrix Definition

Data Item	Description / Allowable values	Type	Mandatory	Default	Units
Request	Input details of the Request, i.e. UPRN or Partial Address	sr:RequestWANMatrix	Yes	None	N/A
DSPWANMatrixResponse	Array of responses for each CSP Region	Sr:DSPWANMatrixResponse	Yes	None	N/A

Table 260 : DSPWANMatrix (sr:DSPWANMatrix) data items

Amend Section 3.8.127.4 Table 260a to the following:

DSPWANMatrixResponse Definition

Data Item	Description / Allowable values	Type	Mandatory	Default	Units
CSPRegion	The CSP Region the address is associated with Valid set: - North - Central - South 4G Central 4G South 4G North	sr:CSPRegion (Restriction of xs:string (Enumeration))	Yes	None	N/A
CSPRegionResponseCode	The outcome for a single CSP Region Valid set: - I0 - E120101 - E120102 - E120103	sr:ResponseCode	Yes	None	N/A
CoverageAvailability	Coverage Availability Valid set: - true. (Yes) - false. (No)	xs:boolean	CSPRegion ResponseCo de = I0: Yes Otherwise: N/A	None	N/A
AnticipatedCoverageDate	If Coverage Availability is set to false, the anticipated date when Coverage will be available. If no Coverage is planned then this date will be set to '3000-12-31T00:00:00Z'	xs:date	Coverage Availability = false: Yes Otherwise: N/A	None	N/A

WANTechnology	The WAN technology to be used for this location The allowable values shall be in line with Equipment names as defined and maintained within Annex E of the CH INSTALLATION AND MAINTENANCE SUPPORT MATERIALS	sr:WANTechnologyType (Restriction of xs:string (maxLength = 30))	CSPRegionResponseCode = 10: Yes Otherwise: N/A	None	N/A
ConnectivityLikelihood	The likely Connectivity strength Valid set: - High - Medium - Low	Restriction of xs:string (Enumeration)	CSPRegionResponseCode = 10: Yes Otherwise: N/A	None	N/A
AuxiliaryEquipmentRequired	Free text with details of any required auxiliary equipment, if any	Restriction of xs:string (maxLength = 50)	No	None	N/A
AdditionalInformation	Free text providing additional information	Restriction of xs:string (maxLength = 250)	No	None	N/A

Table [1260a](#) : DSPWANMatrixResponse (sr:DSPWANMatrixResponse) data items

Amend Table 262 to the following:

3.9 DCC Alert Messages

3.9.1 Specific Data Items in the DCC Alert Message

Each Alert Code being reported as a DCC Alert shall conform to the DCC Alert format as defined in [Error! Reference source not found.3.6.3 Error! Reference source not found.DCC Alerts—DCCAlertMessageFormat](#). The DCC shall ensure that the Body of each DCC Alert (DCCAlert XML element) conforms to one of the DCC Alert formats as defined in the table below:

DCCAlert Definition

<u>DCC Alert Format / Data Item</u>	<u>Description / Allowable values</u>	<u>Type</u>	<u>Mandatory for Alert Codes</u>	<u>Default</u>	<u>Units</u>
<u>PowerOutageEvent</u>	The trigger event indicates that a device power has failed	<u>sr:PowerOutageEvent</u> See Error! Reference source not found.3.9.2	<u>AD1</u>	<u>None</u>	<u>N/A</u>
<u>DeviceStatusChangeEvent</u>	The trigger event indicates that a Device's SMI Status has changed	<u>sr:DeviceStatusChangeEvent</u> See Error! Reference source not found.3.9.3	<u>N1, N2, N8, N9, N16, N28 and N29, N44, N45</u>	<u>None</u>	<u>N/A</u>
<u>DSPScheduleRemoval</u>	The trigger event indicates that a DCC Schedule is to be deleted	<u>DSPScheduleRemoval</u> See Error! Reference source not found.3.9.4	<u>N4, N5, N6, N17, N37 and N40</u>	<u>None</u>	<u>N/A</u>
<u>CommandFailure</u>	The trigger event indicates that a Command has failed	<u>sr:CommandFailure</u> See Error! Reference source not found.3.9.5	<u>N3, N7, N10, N11, N12, N13, N14, N15, N33, N34, N35, N36, N38, N41 and N53</u>	<u>None</u>	<u>N/A</u>
<u>FirmwareDistributionFailure</u>	The trigger event indicates that a Firmware Distribution Command to the CSP has failed, at least for some of the Devices	<u>sr:FirmwareDistributionFailure</u> See Error! Reference source not found.3.9.6	<u>N18, N19, N20, N21, N22 and N23</u>	<u>None</u>	<u>N/A</u>

<u>UpdateHANDeviceLogResult</u>	The trigger event indicates if a Command to Update a Communications Hub Whitelist Update. (addition ONLY) has succeeded or no Alert has been received by the DCC.	<u>sr:UpdateHANDeviceLogResult</u> <u>See Error! Reference source not found.3.9.7</u>	<u>N24 and N25</u>	<u>None</u>	<u>N/A</u>
<u>ChangeOfSupplier</u>	The trigger event indicates if an Update Security Credentials (CoS) has succeeded or has failed the CoS Party access control	<u>sr:ChangeOfSupplier</u> <u>See Error! Reference source not found.3.9.8</u>	<u>N26 and N27</u>	<u>None</u>	<u>N/A</u>
<u>DeviceLogRestored</u>	The trigger event indicates that the CHF or GPF Device Log has been restored	<u>sr:DeviceLogRestored</u> <u>(See clause Error! Reference source not found.3.9.9)</u>	<u>N30, N31</u>	<u>None</u>	<u>N/A</u>
<u>PPMIDAlert</u>	The trigger event indicates an Alert has been generated by the PPMID Device	<u>sr:PPMIDAlert</u> <u>(See clause Error! Reference source not found.3.9.10)</u>	<u>N39</u>	<u>None</u>	<u>N/A</u>
<u>SecurityCredentialsUpdated</u>	The trigger event indicates receipt of a success Response from Update Security Credentials where the Remote Party whose certificate has been placed on the Device is not the sender of the Service Request	<u>sr:SecurityCredentialsUpdated</u> <u>(see clause Error! Reference source not found.3.9.11)</u>	<u>N42</u>	<u>None</u>	<u>N/A</u>
<u>PPMID Removal</u>	The trigger event is receipt of a successful Response from Update HAN Device Log (Removal) where the removed Device is a PPMID	<u>sr:PPMIDRemoval</u> <u>(See clause Error! Reference source not found.3.9.12)</u>	<u>N43</u>	<u>None</u>	<u>N/A</u>

	<u>that was joined to both an ESME and the GSME</u>				
<u>QuarantinedRequest</u>	<u>The trigger event indicates that the Service Request has been quarantined, because an Anomaly Detection volume threshold or attribute limit has been breached</u>	<u>sr:QuarantinedRequest</u> <u>(See clause Error! Reference source not found.3.9.17)</u>	<u>N46, N47, N48</u>	<u>None</u>	<u>N/A</u>
<u>FirmwareVersionMismatch</u>	<u>N49. The trigger event indicates there is a mismatch between the Device's Firmware Version in SMI and that returned by the Read Firmware Version Service Request and that the version returned by the Device matches an entry on the CPL with a status of "Current"</u> <u>N50. The trigger event indicates there is a mismatch between the Device's Firmware Version in SMI and that returned by the Read Firmware Version Service Request, the Activate Firmware Service Request or the Future Dated Firmware Activation Alert and that the version returned by the Device matches an entry on the CPL with a status of "Removed"</u> <u>N51. The trigger event indicates there is a mismatch between the Device's Firmware Version in SMI and that returned by the Read</u>	<u>sr:FirmwareVersion Mismatch</u> <u>(See clause Error! Reference source not found.3.9.13)</u>	<u>N49, N50, N51, N52.</u>	<u>None</u>	<u>N/A</u>

	<u>Firmware Version Service Request, the Activate Firmware Service Request or the Future Dated Firmware Activation Alert and the version returned by the Device doesn't match an entry on the CPL</u> <u>N52. The trigger event indicates there is a mismatch between the GSME's Firmware Version in SMI and that returned by the Read Firmware Version Service Request where the target Device is GPF</u>				
<u>DualBandCHAlert</u>	<u>The trigger event indicates an Alert has been generated by the Dual Band CHF Device</u>	<u>sr:DualBandCHAlert</u> (See clause Error! Reference source not found.3.9.14)	<u>N54</u>	<u>None</u>	<u>N/A</u>
<u>S1SPAlertDSP</u>	<u>Used for conveying an S1SP Alert</u> <u>N55: The trigger event indicates that a SMETS1 Service Provider reports a Service Request validation error or other notification.</u> <u>N56: The trigger event is the provision of a prepayment top-up UTRN in response to a Service Request where SRV is 2.2</u>	<u>sr:S1SPAlertDSP</u> (See clause Error! Reference source not found.3.9.15)	<u>N55, N56</u>	<u>None</u>	<u>N/A</u>
<u>SMETS1CHFirmwareNotification</u>	<u>See Clauses Error! Reference source not found.1.4.7.13 and Error! Reference source not found.1.4.7.14.</u>	<u>sr: SMETS1CHFirmwareNotification</u> (See clause Error! Reference source not found.3.9.18)	<u>N57</u>	<u>None</u>	<u>N/A</u>
<u>ALCSHCALCSConfigurationChange</u>	<u>The trigger event indicates the ESME's ALCS/HCALCS/APC configuration has changed</u>	<u>sr:ALCSHCALCSConfigurationChange</u> (See clause Error! Reference source not found.3.9.19)	<u>N58</u>	<u>None</u>	<u>N/A</u>

FirmwareUpgradeRequest	This Alert is used to share the list of Devices that have been approved by CSPs for firmware update.	sr:FirmwareUpgradeRequested (See clause Error! Reference source not found.3.9.20)	N59	None	N/A
CSPFirmwareDeliveryStatus	The trigger event indicates a notification has been generated by the CSP in relation to the transfer of a firmware image to a Comms Hub.	sr:CSPFirmwareDeliveryStatus (See clause Error! Reference source not found.3.9.21)	N60, N61	None	N/A
CommsHubAlert	The trigger event indicates an Alert has been generated by the Comms Hub	sr:CommsHubAlert (See clause Error! Reference source not found.3.9.22)	N62	None	N/A
ECoSAlert	The trigger event indicates that the ECoS Party has generated an ECoS Alert.	sr:ECoSAlert (See clause Error! Reference source not found.3.9.23)	N63	None	N/A
CoSCertificateAlert	The trigger event indicates that a Device has been installed with a CoSCertificate in its CoS Trust Anchor Cell that does not align with an active CoS Party.	sr:CosCertificateAlert (See clause Error! Reference source not found.3.9.24)	N65	None	N/A
CommsHubFirmwareActivation	The trigger event indicates that a new version of Firmware has been activated on a SMETS2+ Comms Hub.	sr:FirmwareVersionActivation (See clause Error! Reference source not found.3.9.25)	N64	None	N/A
DUISVersionMismatch	The trigger event indicates that the DCC Alert or Service Response to be sent to the User is not compatible with their DUIS XSD version	sr:DUISVersionMismatch (See clause Error! Reference source not found.3.9.16)	N999	None	N/A
DCC Alert Format / Data Item	Description / Allowable values	Type	Mandatory for Alert Codes	Default	Units
PowerOutageEvent	The trigger event indicates that a device power has failed	sr:PowerOutageEvent See 3.9.2	AD1	None	N/A

DeviceStatusChangeEvent	The trigger event indicates that a Device's SMI Status has changed	sr:DeviceStatusChangeEvent See 3.9.3	N1, N2, N8, N9, N16, N28 and N29, N44, N45	None	N/A
DSPScheduleRemoval	The trigger event indicates that a DCG Schedule is to be deleted	sr:DSPScheduleRemoval See 3.9.4	N4, N5, N6, N17, N37 and N40	None	N/A
CommandFailure	The trigger event indicates that a Command has failed	sr:CommandFailure See 3.9.5	N3, N7, N10, N11, N12, N13, N14, N15, N33, N34, N35, N36, N38, N41 and N53	None	N/A
FirmwareDistributionFailure	The trigger event indicates that a Firmware Distribution Command to the CSP has failed, at least for some of the Devices	sr:FirmwareDistributionFailure See 3.9.6	N18, N19, N20, N21, N22 and N23	None	N/A
UpdateHANDeviceLogResult	The trigger event indicates if a Command to Update a Communications Hub Whitelist Update. (addition ONLY) has succeeded or no Alert has been received by the DCC.	sr:UpdateHANDeviceLogResult See 3.9.7	N24 and N25	None	N/A
ChangeOfSupplier	The trigger event indicates if an Update Security Credentials (CoS) has succeeded or has failed the CoS Party access control	sr:ChangeOfSupplier See 3.9.8	N26 and N27	None	N/A
DeviceLogRestored	The trigger event indicates that the CHF or GPF Device Log has been restored	sr:DeviceLogRestored (See clause 3.9.9)	N30, N31	None	N/A

PPMIDAlert	The trigger event indicates an Alert has been generated by the PPMID Device	sr:PPMIDAlert (See clause 3.9.10)	N39	None	N/A
SecurityCredentialsUpdated	The trigger event indicates receipt of a success Response from Update Security Credentials where the Remote Party whose certificate has been placed on the Device is not the sender of the Service Request	sr:SecurityCredentialsUpdated (see clause 3.9.11)	N42	None	N/A
PPMID-Removal	The trigger event is receipt of a successful Response from Update HAN Device Log (Removal) where the removed Device is a PPMID that was joined to both an ESME and the GSME	sr:PPMIDRemoval (See clause 3.9.12)	N43	None	N/A
QuarantinedRequest	The trigger event indicates that the Service Request has been quarantined, because an Anomaly Detection volume threshold or attribute limit has been breached	sr:QuarantinedRequest (See clause 3.9.17)	N46, N47, N48	None	N/A

FirmwareVersionMismatch	N49. The trigger event indicates there is a mismatch between the Device's Firmware Version in SMI and that returned by the Read Firmware Version Service Request and that the version returned by the Device matches an entry on the CPL with a status of "Current" N50. The trigger event indicates there is a mismatch between the Device's Firmware Version in SMI and that returned by the Read Firmware Version Service Request, the Activate Firmware Service Request or the Future Dated Firmware Activation Alert and that the version returned by the Device matches an entry on the CPL with a status of "Removed" N51. The trigger event indicates there is a mismatch between the Device's Firmware Version in SMI and that returned by the Read Firmware Version Service Request, the Activate Firmware Service Request or the Future Dated Firmware Activation Alert and the version returned by the Device doesn't match an entry on the CPL N52. The trigger event indicates there is a mismatch between the	sr:FirmwareVersionMismatch (See clause 3.9.13)	N49, N50, N51, N52.	None	N/A
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	GSME's Firmware Version in SMI and that returned by the Read Firmware Version Service Request where the target Device is GPF				
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DualBandCHAlert	The trigger event indicates an Alert has been generated by the Dual Band CHF Device	sr:DualBandCHAlert (See clause 3.9.14)	N54	None	N/A
S1SPAlertDSP	Used for conveying an S1SP Alert N55: The trigger event indicates that a SMETS1 Service Provider reports a Service Request validation error or other notification. N56: The trigger event is the provision of a prepayment top-up UTRN in response to a Service Request where SRV is 2.2	sr:S1SPAlertDSP (See clause 3.9.15)	N55, N56	None	N/A
SMETS1CHFirmwareNotification	See Clauses 1.4.7.13 and 1.4.7.14.	sr:SMETS1CHFirmwareNotification (See clause 3.9.18)	N57	None	N/A
ALCSHCALCSConfigurationChange	The trigger event indicates the ESME's ALCS/HCALCS/APC configuration has changed	sr:ALCSHCALCSConfigurationChange (See clause 3.9.19)	N58	None	N/A
FirmwareUpgradeRequested	This Alert is used to share the list of Devices that have been approved by CSPs for firmware update.	sr:FirmwareUpgradeRequested (See clause 3.9.20)	N59	None	N/A
CSPFirmwareDeliveryStatus	The trigger event indicates a notification has been generated by the CSP in relation to the transfer of a firmware image to a Comms Hub.	sr:CSPFirmwareDeliveryStatus (See clause 3.9.21)	N60, N61	None	N/A
CommsHubAlert	The trigger event indicates an Alert has been generated by the Comms Hub	sr:CommsHubAlert (See clause 3.9.22)	N62	None	N/A
ECoSAlert	The trigger event indicates that the ECoS Party has generated an ECoS Alert.	sr:ECoSAlert (See clause 3.9.23)	N63	None	N/A

CoSCertificateAlert	The trigger event indicates that a Device has been installed with a CoSCertificate in its CoS Trust Anchor Cell that does not align with an active CoS Party.	sr:CosCertificateAlert (See clause 3.9.24)	N65	None	N/A
CommsHubFirmwareActivation	The trigger event indicates that a new version of Firmware has been activated on a SMETS2+ Comms Hub.	sr:FirmwareVersionActivation (See clause 3.9.25)	N64	None	N/A
DUISVersionMismatch	The trigger event indicates that the DCC Alert or Service Response to be sent to the User is not compatible with their DUIS XSD version	sr:DUISVersionMismatch (See clause 3.9.16)	N999	None	N/A

Table 2262 : DCCAlert (sr:DCCAlert) data items

SEC Appendix AW – Performance Assurance Framework

These changes have been redlined against SEC Appendix AW version 1.0.

Amend Section 7. as follows:

7. Application of the Performance ~~Assurance~~Management Techniques

Amend Section 8.1 (a). as follows:

- 8.1 Following the end of each financial year (1 April to 31 March), the PAB shall prepare an Annual Performance Assurance Report for the year, to be presented to the Panel. The Annual Performance Assurance Report shall set out:
- a) the results of the PAB's activities, in particular, the extent to which the application of Performance Assurance Techniques mitigated the risks in the Risk Performance Register;

SEC Appendix Q – IKI Certificate Policy

These changes have been redlined against SEC Appendix Q version 8.0.

Amend Section 5.3.1 (B) as follows:

5.3.1 Qualification, Experience and Clearance Requirements

(A) The ICA shall ensure that all ICA Personnel must:

- (i) be appointed to their roles in writing;
- (ii) be bound by contract to the terms and conditions relevant to their roles;
- (iii) have received appropriate training with respect to their duties;
- (iv) be bound by contract not to disclose any confidential, sensitive, personal or security-related Data except to the extent necessary for the performance of their duties or for the purposes of complying with any requirement of law; and
- (v) in so far as can reasonably be ascertained by the ICA, not have been previously relieved of any past assignment (whether for the ICA or any other person) on the grounds of negligence or any other failure to perform a duty.

(B) The ICA shall ensure that all ICA Personnel have, as a minimum, passed a Security Check to BS7858 standard, or an equivalent standard which updates or replaces it, before commencing their roles