

Stage 02: Initial Modification Report

What stage is this document in the process?



SECMP0004:

Inclusion of Meter Serial Number data item in the Smart Metering Inventory

This proposal seeks to add the Meter Serial Number to the Smart Metering Inventory to enable mapping between data held in the DCC Systems, and industry dataflows.



The recommendation is that this Modification should be:

- progressed as a Path 2: Authority Determined Modification

This Modification Proposal should:

- be progressed through the Refinement Process



Medium Impact:

Changes to DUIS are required and will affect the DCC and DCC Users.

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Any questions?

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About this document

This document is an Initial Modification Report. It has been issued to the SEC Panel to enable the Panel to carry out its initial consideration of the Modification Proposal.

1. Summary of Modification Proposal

This section provides an overview of SECMP0004. For further details on the Modification Proposal please refer to subsequent sections.

Defined Terms and acronyms used in this document are listed for reference in the Glossary (Section 8) of this document.

1.1 Summary of Modification

This proposal recommends the Meter Serial Number (MSN) is added to the Smart Metering Inventory (SMI) to support the Change of Supply (CoS) process and ensure data integrity across the energy industry.

1.2 Proposed Solution

The DCC User Interface Specification (DUIS) is amended to include MSN as a data item in the SMI, and to expose this data item to DCC Users via the relevant Service Requests and the Self-Service Interface.

1.3 Impacts

The Proposer has indicated that the modification is likely to impact the DCC and DCC Users.

This modification will require amendments to the SEC Subsidiary Document - DUIS, and more specifically Service Requests 12.2 (Device Pre-notification), 8.4 (Update Inventory) and 8.2 (Read Inventory).

1.4 Targeted Implementation Date

The proposal targets implementation in a release as soon as possible after DCC Live and considered for Release 2.0 scheduled for June 2017 or as soon as reasonably practicable thereafter.

The Working Group will consider whether the implementation timetable is appropriate (see Supplementary Questions in the Terms of Reference in Section 6 below).

1.5 Release Management and Testing Requirements

This modification falls under the Panel's Release Management Policy. The testing requirements will be further informed in the Refinement Process and form part of the Working Group considerations.

1.6 Proposed progression

This Modification must go through the Refinement Process pursuant to SEC D3.9(c) as it affects the DCC Systems, User Systems and/or Smart Metering Systems.

Section 6 of this document contains a detailed timetable and the Working Group constitution and objectives.

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2. Why Change?

2.1 What is the issue?

The SMI is not currently set to provide MSNs. The Proposer highlights that including the MSN in the SMI would support the CoS process and ensure data integrity across the energy market.

The Proposer highlights that the SMI currently provides the following data items (relevant to this Modification Proposal):

- Gaining supplier identifier (GUID);
- Meter identification numbers and meter point identifiers (MPxN);
- Device type;
- Device model; and
- Device manufacturer.

The Proposer comments that the data quality issues currently experienced in the energy industry would be further compounded by the addition of the new GUID entity, as suppliers would be required to associate the GUID and MSN in their individual systems. The Proposer comments that the storing of the GUID in the systems that hold the MSN (whether at the supplier or metering agent end) will involve:

- Significant industry change;
- Additional unexpected costs across multiple parties and multiple systems; and
- Additional governance around the communication between these systems.

It has also been noted that the above points will also be applicable for using a third party hosted system. The Proposer also highlights the risks of incorrect associations of identifications and its impact on the CoS process. For example, in a CoS event the Proposer questions how the new supplier would know of the MSN before and during the CoS process, on the basis that this process requires the losing Supplier to communicate details of the smart meter configuration (using the MSN) to the Meter Operator. The Proposer notes that without the proposed inclusion of the MSN in the SMI, additional metering dataflows would need to be sent to provide the supplier with the MSN. This is further complicated when multiple devices and import/export metering is involved, which may ultimately have negative impacts on the consumer. Overall, the proposal expresses that the inclusion of the MSN is fundamental to the following:

- CoS process – this is key in existing industry processes, as well as supporting developments in areas such as BSC Modifications P302;
- interactions with the smart meter;
- asset management, as it supports fit for purpose processes going forward to deliver benefit case for smart metering;
- minimising overall costs of inefficient processes; and
- supporting the consumer experience.

The proposal also asserts that the addition of the MSN into the SMI will provide a central DCC solution that outweighs any other approach in terms of its overall benefit and costs. The Proposer also believes that the inclusion will be key in supporting development areas such as BSC Modification P302, which will also support the move to Faster Switching, part of Ofgem's Smarter Markets work.



What's the issue?

The SMI does not currently provide MSNs. The Proposer highlights that the inclusion of MSN on the SMI would support the CoS process and ensure data integrity.

3. Proposed Solution

The Proposer has recommended the DUIS is amended to include the MSN as a data item in the SMI, and to expose this data item to DCC Users via the relevant Service Requests (SR) and Self-Service Interface (SSI). The Import Supplier or Gas Supplier (as applicable) will be responsible for the provision, ongoing accuracy and maintenance of the MSN data item to the DCC.

The Proposer's recommended changes to the DUIS are set out in the below table.

Recommended Changes	
Change	Details
1. Allow conditional inclusion of the MSN as a data item to be stored in the SMI	This will be conditionally populated through the device pre-notification flow i.e. mandated when device type is Electricity Smart Metering Equipment (ESME) or Gas Smart Metering Equipment (GSME). All relevant DCC Users will need to provide this data via SR 12.2 (Device Pre-notification).
2. Allow DCC User to update the MSN on the DCC Inventory	Via SR 8.4 (Update Inventory) (or a variant of this SR if it cannot be used to update an existing entry) by including the MSN data item on that SR. The MSN would be able to be updated at any time and irrespective of device status, however appropriate access control would need to be applied to ensure that only appropriate parties are able to update this data item. These parties would be: a) The party that notified the device to the DCC where the ESME or GSME is at a status of 'Pending' on the SMI. b) The Registered Supplier or the Registered Supplier Agent where the device has any other status on the SMI.
3. Expose the MSN data item to DCC Users	Via: • SR 8.2 (Read Inventory); and • The SSI.

The Proposer recommends that once the changes to the DCC Systems and interfaces are made, an exercise will need to be undertaken to populate MSN data for ESMEs and GSMEs held on the SMI for which an MSN has not been provided.

One of the key objectives of the proposed Modification is to improve and maintain data integrity across multiple industry parties by linking the GUID and MSN in the key central system for smart meters. However the Proposer has recognised that there may still be instances where there is a need to update or correct the MSN once it has been provided to



What's the solution?

Amendments to the DUIS to include the MSN as a data item in the SMI.

the SMI. Therefore, this facility will need to be available as part of any solution to deliver the requirements of this modification.

The Proposer also highlights that the MSN will continue to be held and maintained in all suppliers systems. Suppliers will also need to hold and maintain the GUID in order to facilitate interactions with the DCC and Network Operators. Suppliers have full responsibility for the cross-reference mapping of the MSN to GUID and its accuracy.

The Proposer is of the view that changes to the Technical Specifications will not be required, as this will be a DCC systems only change; all impacted SRs are DCC only requests i.e. they will not be passed to the device.

The Proposer has supported this with the following points:

- Suppliers and their registered agents will remain responsible for the provision and accuracy of the MSN in line with existing industry codes and processes.
- The objective of this modification is for the DCC to include the data provided to it by the supplier, rather than requiring the DCC to source the data via another process or route, validate it, or maintain its accuracy on an enduring basis.
- The inclusion of the MSN would be within the existing meter technical details information already provided by the Supplier to update the SMI.
- Suppliers will be responsible for the accuracy of MSN data held on the SMI and will carry the risk of any inaccuracies regarding the MSN provided to the SMI.

This proposal has previously been discussed at the Technical and Business Design Group (TBDG) as RFC SMIP-RFC-036 which was raised by Energy UK.

3.1 Legal Text

The necessary amendments to the DUIS will be prepared during the Refinement Process.

3.2 Applicable SEC Objectives

The below table presents the applicable SEC Objectives identified in the proposal and the Proposers view on how the proposed would better facilitate the achievement of these objectives.

How the Modification Proposal would better facilitate achievement of the SEC Objectives	
SEC Objective	Proposers View
(a) the first General SEC Objective is to facilitate the efficient provision, installation, and operation, as well as interoperability, of Smart Metering Systems at Energy Consumers' premises within Great Britain;	The proposer highlights that the recommended modification will achieve this Objective as it is fundamental to the following: • CoS process; • Supporting developments in areas such as BSC Modifications P302; • Interactions with the smart meter; • Asset management, as it supports fit for purpose processes going forward

How the Modification Proposal would better facilitate achievement of the SEC Objectives

to deliver benefit case for smart metering;

- Minimising overall costs of inefficient processes; and
- Supporting the consumer experience.

4. Impacts & Costs

The following section provides an initial assessment of the likely impacts from SECMP0004. Additional impacts may be identified by the Working Group in the Refinement Phase.

4.1 Impacts

The following is provided as an indication of likely impacts as known at this time. The Refinement Process will further inform the effects of SECMP0004.



Are there any Impacts?

Yes – there will be impacts to the DUIS. The DCC and DCC Users will be impacted.

Material Impact on Greenhouse Gas Emission

The proposer envisages little impact.

Impact on Parts of Smart Energy Code or SEC Subsidiary Documents

SEC Sections, Schedules of Appendices (Subsidiary Documents) likely impacted	Potential Impact
DUIS	DUIS will need to be amended as outlined in the proposed solution in Section 3.

Impact on other Codes and documents

The Proposer envisages little impact on other Codes and documents.

Impact on Smart Energy Code Party Categories

Potential Impact	Party Category
The Proposer is of the view that the amendments to the DUIS will impact all the DCC Users that access ESME and GSME information from the SMI.	- Large Suppliers - Small Suppliers - Electricity Networks - Gas Networks - Other SEC Parties

Impact on DCC Systems (subject to DCC assessment)

Area of DCC impacted	Potential Impact
DCC	The Proposer has indicated that the amendment will need to be implemented in the DCC Systems, in particular the SMI.
Data Service Provider (DSP)	To be informed through the Refinement Process.

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Impact on DCC Systems (subject to DCC assessment)	
Communications Service Providers (CSP)	To be informed through the Refinement Process.
Trusted Provider	To be informed through the Refinement Process.

Impact on other Systems	
Area of impact	Potential impact
User Systems	As above and to be further informed through the Refinement Process.
Smart Metering Systems	As above and to be further informed through the Refinement Process.
Other (e.g. Security and PKI)	To be informed through the Refinement Process.

4.2 Costs

The costs of implementing SECMP0004 will be identified as it progresses through the Refinement Process. These costs will capture indicative DCC implementation costs as provided in their impact assessment responses and any SEC Party costs (where provided during the relevant consultations).



When will the Modification be implemented?

The Proposer has requested that this modification be implemented in June 2017.

5. Implementation

The Proposer has requested that this Modification Proposal is implemented in June 2017 as part of SEC Release 2.0.

During the Refinement Process, it may become clearer whether June 2017 is achievable under the implementation timetable. In this event, the Working Group should identify this as part of their deliverables and this has been incorporated into the supplementary considerations in section 6.5 below.

5.1 Modification Testing Requirements

The Panel Release Management Policy notes that, as part of the Panel's considerations of a Modification Proposal and the associated implementation timetable and date, the Panel will consider what testing is required and who will be eligible to participate. SEC Section H14 requires the DCC to make provision for Modification Proposal implementation testing as part of its Testing Services.

The testing requirements under the Panel Release Management Policy are yet to be fully defined. It is anticipated that this Modification Proposal may require testing consistent with the SEC Section T arrangements for:

- i. DCC testing (Systems Integration Testing - SIT); and
- ii. Interface Testing (IT) with a representative number of Users and DCC to demonstrate the capability of the DCC solution to interoperate with User Systems.

In both cases, the approach for SIT and IT will be informed during the Refinement Process, hence SECAS has added this aspect to the considerations of the Working Group (see section 6.5 below).

It is noted that the final testing scope and arrangements will be integrated under the Panel Release Management Policy approach for "R2".

6. Progression

6.1 Modification Path

Based on the initial review of the Modification Proposal and subsequent discussion with the Proposer, SECAS recommends that the appropriate Modification Path is: Path 2 - Authority Determined.

6.2 Progression route

The Refinement Process is required for this Modification Proposal as the Proposer has identified that it affects DCC Systems, User Systems, and Smart Metering Systems, which are the SEC criteria for following the Refinement Process (see SEC Section D3.9(c)).

The Refinement Process (SEC D6) requires that a Working Group is established by the Panel to undertake the Refinement Process. In outline, the objectives of the Working Group are to:

- Consider the effects of the Modification Proposal on participants, Emissions and Other Energy Codes;
- Evaluate, develop and refine the content of the Modification Proposal, including where the Working Group considers an Alternative Proposal may be relevant, prepare and submit this into the Refinement Process with the Proposers Modification Proposal;
- Evaluate, and amend if applicable, the proposed implementation timetable of the Modification Proposal including with regard to consistency with the Panel Release Management Policy;
- Obtain and take into account the views of other relevant Sub-Committees (TSC, SSC, PMA);
- Obtain assessments from the DCC as to the impact and costs;
- Consider the SEC Objectives that may be better achieved if the Modification Proposal was implemented;
- Conduct a Consultation(s);
- Consider any representations made to the WG by Parties; and
- Deliver a Modification Report to the Panel in respect of the Modification Proposal.

6.3 Working Group membership requirements

SEC Section D6.3 sets out that a Working Group must be at least 5 members with relevant expert knowledge. Therefore we propose that the Working Group should be made up of:

- The Proposer or a person nominated by the Proposer as a duly authorised representative of the Proposer;
- Working Group members:
 - who are broadly representative of the Users likely to be affected by the Modification Proposal, so that the Refinement Process is well informed in this case Suppliers and the DCC, although other interested Parties may come forward;
 - with relevant experience and expertise in relation to the subject matter of the Modification Proposal (Technical Sub-committee (TSC) expertise need not be duplicated as this may be achieved through co-ordination between the WG and TSC);
- A Chair (see following section);

- A Secretary (provided by SECAS); and
- A Modification Analyst (provided by SECAS).

The Working Groups can also be attended by:

- DCC representatives;
- Ofgem representatives;
- DECC representatives; and
- Any interested members from the Technical Sub-Committee (or its Technical and Business Expert Community).

6.4 Convening the Working Group

It is noted that SEC Section D6.3 makes provision for the Panel, with the cooperation of the Parties to establish a standing list of persons with potentially relevant experience who may be willing to serve on Working Groups. As Modification Paths have only recently been enabled such a standing list is not available to the Panel.

Therefore it is recommended that an open invitation is issued at this time, with a view to using this exercise as a means of identifying the constitution of any future standing membership that can be called upon as a Modifications Working Group.

Modification Working Group members are required to meet the SEC requirements to confirm in writing to SECCo that they agree to serve on that Working Group and to do so in accordance with this Code.

Working Group Chair

SEC Section D6.4 enables the Panel to request that SECAS provides the Chair for the Working Group. While the Modification Process beds down, it is proposed that, to facilitate convening the Working Group in the first instance, SECAS provides the Chair. The Working Group, once constituted, may then proceed to appoint a Chair from within its Membership, if that is the majority view of the Members. This optionality would only be available at the first meeting to preserve continuity.

6.5 Working Group Terms of Reference

To meet the requirements of the Refinement Process set out in SEC Sections D6.8-D6.14 draft standard Terms of Reference are provided in Appendix B. The following questions have been identified for the Working Group to consider in order to fully assess the Modification Proposal.

Working Group Terms of Reference – supplementary matters to consider

What is the materiality of the issue?

What are the detailed changes to the DUIS to support this SECMP0004 (and it's Alternative(s))?

What are the systems impacts for DCC/User/Smart Meters?

What are the costs and lead times to introduce the solution in this SECMP0004 or its Alternative(s)?

Is the implementation timetable appropriate?

Are Consumers positively or negatively impacted by the Proposed (or any Alternative) solutions and to what extent?

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What Modification Implementation Testing is required to implement the Proposed Modification, or any Alternative(s)?

What are the implementation steps and activities required to implement the Proposed (or an Alternative) Solution(s)?

Have the views of the relevant Panel Sub-Committee been taken into account?

Has the Refinement Process identified any potential reason that this Modification (or its Alternatives) may require EC Notification (noting that the Authority will determine if any such Notification is pursued)?

The above is not intended as an exhaustive list and it is expected that the Working Group will identify and address any other considerations that arise during the Refinement Process.

6.6 Timetable

As the Modifications Process has only recently been activated, the timetable set out below was put together in discussion with the Proposer and SECAS as a good faith estimate. A number of assumptions underpin this timetable:

- The Proposer has requested that the Modification Proposal is implemented in Release 2.0.
- The proposed timetable below has been built around a June 2017 implementation date, noting that the implementation date may need be flexible to accommodate the necessary implementation (and testing) lead times, if the Modification Proposal is approved.
- The proposed timetable includes some assumed timescales for the turnaround of DCC's Impact Assessments and the Authority determination based on the indicative timescales provided by these entities.
- If the changes associated with this modification require EC Notification, the proposed timetable does not currently capture the three month 'stand-still' during EC notification. This is on the basis that any representations received during the stand-still need not necessarily result in any material change to the notifiable document or agreed solution in any way.
- The timetable has been drawn up based on this Modification Proposal progressing without cancellation or suspension under the *Smart Metering Implementation Programme Guidance on Secretary of State involvement with industry-led modifications to the Smart Energy Code during the transition to enduring governance*¹ document issued by DECC.
- The timetable assumes that any Panel Sub-Committee inputs can be fed into the Refinement process at the appropriate time, and this may be subject to alteration.

¹Available at: <https://smartenergycodecompany.co.uk/docs/default-source/modifications/decc-sec-modification-guidance-v1-0.pdf?sfvrsn=3>

Modification Timetable	
Activity	Date
Modification Proposal raised	19 February 2016
IMR considered by Panel	11 March 2016
Working Group meetings Indicative activities: - Initial considerations - Legal drafting - Sub-Committee feedback - Alternative(s) identified - Impact Assessments - Detailed evaluation	March 2016 – July 2016
Working Group Consultation	August 2016
Final Working Group meeting Indicative Activities: - Consultation response summary - WG deliverables met - Assessment for Modification Report	August 2016
Panel reviews Modification Report	9 September 2016
Modification Report phase consultation	September 2016
Change Board vote	19 October 2016
Modification Decision by the Authority	November 2016
Implementation	June 2017

6.7 Grouping this Modification Proposal with others

There are a number of Modification Proposals that are currently entering the SEC process that have implications for a similar set of Parties and SEC Subsidiary Documents. It may be possible to bring efficiencies into their Refinement under one Working Group. For example, whilst the underlying content may not be directly related, each solution entails opening the Technical Specifications. There may be merit in grouping these under the Terms of Reference for a single Working Group so that the implications of changes to the Technical Specifications are consistently understood for the future.

SECAS is of the view that this is entirely consistent with the aim in the SEC of establishing standing Members to serve on Working Groups and will offer both value for money for the Panel budget and a reduction in commitment by Working Group Members who might otherwise have to attend several meetings to progress each modification discretely.

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SECAS considers that there may be potential to group this SECMP0004 with others for consideration by one Working Group and **recommends** that the merits of this are explored further when issuing the invitations for the Working Group.

7. Panel Initial Assessment

The Panel is requested to **NOTE** the contents of this paper for SECMP0004 and, pursuant to SEC Section D3.6, **AGREE** the following as set out in this Initial Modification Report:

- Whether to accept the Modification Proposal;
- It is a Path 2 Modification (taking into account the view expressed by the Proposer);
- That it is necessary for the Modification Proposal to go through the Refinement Process as set out in Section 6.2;
- To establish a Working Group with the membership and Working Group Chair as set out in Section 6.3;
- The supplementary considerations for SECMP0004 to supplement the standard Working Group terms of Reference set out in Section 6.5;
- The Modification progression timetable set out in Section 6.6;
- Whether SECMP0004 should be considered together with any other current Modification Proposal(s); and
- The potential to group SECMP0004 with other Modifications to gain efficiencies in the Refinement Process across a number of potential changes to the Technical Specifications.

8. Further Information

More Information is available in:

- Attachment **A**: Modification Proposal
- Attachment **B**: standard Working Group Terms of Reference

For further information, please see the [Modification Register](#) page of the SEC website.

Or contact the SECAS at secas@gemserv.com.

9. Glossary

The terms listed in the below table are defined in SEC Section A.

Glossary	
Term	Acronym
Balancing and Settlement Code	BSC
Change of Supply	CoS
Communications Service Providers	CSP
Data and Communication Company	DCC
Data Service Provider	DSP
DCC User Interface Specification	DUIS
Electricity Network Operator	ENO
Electricity Smart Metering Equipment	ESME
Gaining Supplier Identifier	GUID
Gas Smart Metering Equipment	GSME
Initial Modification Report	IMR
Interface Testing	IT
Meter identification numbers and meter point identifiers	MPxN
Meter Serial Number	MSN
Secretary of State	SoS
Self-Service Interface	SSI
Service Request	SR
Smart Energy Code Administrator and Secretariat	SECAS
Smart Energy Code Company	SECCo
Smart Metering Implementation Programme Request for Change	SMIP RFC
Smart Metering Inventory	SMI
Systems Integration Testing	SIT

Glossary	
Technical and Business Design Group	TBDG
Technical Sub-Committee	TSC