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Technical Architecture and Business Architecture Sub-Committee

Terms of Reference (ToR) Version 2.4

The Technical Architecture and Business Architecture Sub-Committee (TABASC) shall be established pursuant to SEC Section F1.

1. The role of the Technical Architecture and Business Architecture Sub-Committee

1.1 The overall scope of the TABASC comprises the following;

- Maintaining and developing the Technical and Business Architecture documents, and provision of feedback and support to the Panel and on request of the Authority, in respect of any issues or disputes, effectiveness or matters concerning the Technical and Business Architecture.
- Providing support to the SEC Modification process as set out in Section 1.2 below.

Specifically, the prescribed duties and powers of the TABASC are set out in SEC Section F1.4 – F1.5, & F2.1 – F2.2A, F2.14-F2.17 and are described below:

- a) Provide any information requested by the Authority regarding the technical aspects of any Notification;
- b) Provide the Panel with support and advice in respect of Disputes relating to Technical Code Specifications (or other parts of this Code that affect the End-to-End Technical Architecture and/or the Business Architecture);
- c) Review and report to the Panel on the effectiveness of the End-to-End Technical Architecture;
- d) Review and report to the Panel on the effectiveness of the Business Architecture;
- e) Review and report to the Authority and the Panel on the effectiveness of the Home Area Network (HAN) Requirements, not including the Alt HAN Arrangements specifically but having regard for any impact of the provision of Alt HAN Services on the End-to-End Technical Architecture and/or the Business Architecture;
- f) Support the Panel in any technical and business architecture aspects of the annual report;
- g) Develop and maintain the Technical Architecture Document;
- h) Develop and maintain the Business Architecture Document;
- i) Provide the Panel with support and advice in respect of any other matter concerned with the End-to-End Technical Architecture and/or the Business Architecture, including assessing potential impacts and risks associated with any proposed changes to DCC Systems;

- j) Liaise with, provide advice to, and seek advice of the Alt HAN Forum on matters that relate to the End-to-End Technical Architecture and/or the Business Architecture;
- k) Perform any other duties expressly ascribed to the Technical Architecture and Business Architecture Sub-Committee elsewhere in the Code;
- l) Act in cooperation with, and send a representative to, the SMKI Policy Management Authority (PMA)¹ and Technical Specification Issue Resolution Subgroup (TSIRS) or any other Sub-Committee or Working Group which requests the support or attendance of the Technical Architecture and Business Architecture Sub-Committee;
- m) Oversee the maintenance of the Incompatibility Matrix;
- n) Oversee the maintenance of the Central Products List and subsequent submission to Panel;
- o) Oversee the maintenance of the Firmware Information Repository;
- p) Oversee the maintenance of the list of Auxiliary Load Control Switch (ALCS) / HAN Controlled Auxiliary Load Control Switch (HCALCS) / Auxiliary Proportion Controller (APC) / Stand Alone Auxiliary Proportion Controller (SAPC) Labels; and
- q) It is also noted that the terms of reference of the TABASC may be adjusted to reflect changes within Smart Metering governance including where transitional group responsibilities are transferred by a transitional governance group.

1.2 Supporting the Modifications Process

The TABASC will provide structured input to the Modifications Process in respect of Draft Proposals and/or Modification Proposals that may impact the Technical Code Specifications, the End-to-End Technical Architecture and/or the Business Architecture.

In doing so, the TABASC will:

- i. Review, refine, and enhance technical and business requirements for a Modification Proposal, liaising with the DCC, Users and Manufacturers as necessary;
- ii. Consider how the change can be implemented in the most efficient way such that it delivers greatest overall value, both from an operational and implementation approach;
- iii. Make a definitive recommendation to the Change Board and Change Sub-Committee as to whether or not a Modification Proposal is ready to be issued for a Preliminary Assessment or Impact Assessment;
- iv. Review DCC Preliminary Assessment and Impact Assessment responses, including the suggested solution and implementation approach, and provide feedback to the Working Group, Change Board and Change Sub-Committees so that any feedback can be passed to the DCC;
- v. Review a Modification Proposal solution and provide feedback to the Working Group,;
- vi. Identify input from other SEC Sub-Committees to support the refinement of technical and business requirements;
- vii. Identify any issues and impacts that are likely to affect the End-to-End Technical Architecture and/or the Business Architecture (utilising the [TABASC Principles for Assessing Modification Proposals](#)) to be included in the Modification Report; and

¹ Smart Metering Key Infrastructure Policy Management Authority

- viii. Utilising the [TABASC Principles for Assessing Modification Proposals](#) to assess the impacts of each SEC Release that are likely to affect the End-to-End Technical Architecture and/or the Business Architecture.

2. Proceedings of the TABASC

2.1 Meetings

The TABASC shall hold meetings with such frequency as it may determine or the TABASC Chair may direct, but in any event shall meet when necessary to meet its responsibilities at least once every two months.

2.2 Quorum

No business shall be transacted at any meeting of the TABASC unless a quorum is present at that meeting. The quorum for each TABASC meeting shall be one half of all TABASC Members appointed at the relevant time, at least one of whom must be the TABASC Chair or the TABASC Chair's nominated alternate.

2.3 Meeting Notice and Papers

Each meeting that the TABASC determines, or the TABASC Chair directs, shall be convened by the Secretariat. A minimum of five Working Days' notice shall be provided (or such shorter notice as directed by the Panel, or the TABASC Chair).

The notice of each meeting shall be accompanied by:

- Time, date and location of the meeting
- Arrangements for those wishing to attend the meeting by means other than in person
- Agenda and supporting papers

2.4 TABASC Chair

The SEC Panel shall approve the appointment of the TABASC Chair and shall review the appointment in three years from the date of appointment.

Selection of the TABASC Chair shall be determined by the SEC Panel, providing the selection ensures that:

- the selection does not preclude the Panel Chair fulfilling this role
- the candidate selected is regarded by the Panel as having suitable experience and expertise to discharge their duties as the TABASC Chair
- the candidate has declared any relationships or shareholdings with individuals or organisations that might be perceived to create a conflict of interest and, in light of such declarations, the SEC Panel believes that the candidate will be able to act in a sufficiently independent manner in their role as the TABASC Chair
- The Chair shall arrange for a suitable alternate to deputise on occasions when the Chair may be unable to attend a meeting of the TABASC

The TABASC Chair shall not be entitled to vote unless there is a deadlock, in which case the TABASC Chair shall have the casting vote.

2.5 Powers and Voting

In accordance with C6.9 of the SEC:

- each TABASC Member shall be entitled to attend, and to speak and vote at, every meeting of the TABASC;
- all decisions of the TABASC shall be by resolution. In order for a resolution of the TABASC to be passed at a meeting, a simple majority of those TABASC Members voting at that meeting must vote in favour of that resolution. In the event of a voting deadlock, the TABASC Chair shall have the casting vote; and
- a resolution in writing signed by or on behalf of all the TABASC Members shall be as valid and effective as if it had been passed at a meeting of the TABASC duly convened and held. Such a resolution may be signed in any number of counterparts.

Each TABASC Member must first provide written confirmation to agree to serve on the TABASC in accordance with the SEC before exercising powers or voting.

2.6 Membership

The Panel shall invite applications from individuals to serve on the TABASC in accordance with SEC Section C6.7. Those individuals shall be of suitable experience and qualifications required to fulfil the duties of the TABASC as determined by the Panel in accordance with SEC Section F1.3.

Members shall act independently, not as a delegate, and without undue regard to the interests, of any Related Person and will act in a manner designed to facilitate the performance by the Panel of its duties under the SEC.

Members may propose another natural person to act as their Alternate by completing the necessary paperwork and notifying SECAS. TABASC members may wish to nominate an Alternate with a complimentary skill set to their own, considering the integrity of both Business and Technical Architecture. The Alternate, once approved, may attend the TABASC and must act in the capacity as Alternate to discharge the member's duties. The Alternate must complete the declaration as described in SEC C3.8 (a) and (c) prior to voting.

2.6.1 Composition

The voting TABASC Members shall be as follows:

- 6 Members from the Large Supplier Party Category
- 2 Members from the Small Supplier Party Category
- 2 Network Operator Parties
- 2 Members from the Other SEC Party Category

In addition to the Party Category Members, representatives from the DCC, the Authority and the Secretary of State will also be invited to attend on a standing basis in a non-voting capacity.

2.6.2 Term of Office

The TABASC Chair will review membership of the Sub-Committee on a two- yearly basis, inviting applications from individuals in accordance with SEC Section C6.7. The normal term of office for each member is 24 months. For the first term of office half the membership will serve a 12-month term.

2.6.3 Other Interested Parties

In addition to the core TABASC Members, the TABASC Chair is entitled to invite any persons the TABASC determines it appropriate to do so. It is envisaged that any such persons will be able to

provide the TABASC with expert advice on technical matters. TABASC member Alternates may be invited to TABASC meetings to fulfil this purpose.

A representative of the Secretary of State is entitled to attend and speak at the TABASC meetings and will be provided with copies of all agendas and supporting papers.

2.6.4 Member Confirmation

Before a person may serve on the TABASC as a Member or Member's Alternate, that person shall provide written confirmation to SECCo that:

- they agree to serve on the TABASC in accordance with the SEC;
- they will be available as reasonably required by the Sub-Committee to attend at least 50% of meetings and miss no more than 3 meetings in a row without sending an Alternate. Members should also be prepared to undertake some work outside of meetings;
- they shall be prepared to promptly give their expert view, contributing to discussions on matters within the scope of these Terms of Reference; and
- they should also seek views from their Party category where appropriate, in accordance with the Panel Information Policy.

2.6.5 Conflict of Interest

Given that members have a duty to act independently, conflicts of interest should not regularly arise. Members shall have a duty to identify whether a decision presents a conflict of interest. In such cases, the member shall absent themselves from the meeting for the purposes of that decision.

3. Secretariat

SECAS will provide the secretariat and code management for the TABASC. This includes but is not limited to:

- Prepare and maintain the TABASC Member Pack (code of conduct and expenses policy)
- Timetable and organise the TABASC meetings, including meeting rooms
- Act as quality gatekeeper with the Chair for accepting papers
- Circulate agendas and papers for consideration at TABASC meetings, 5 Working Days in advance of that meeting date
- Monitor the quorum prior to meetings to ensure that decision matters are not frustrated or deferred
- Circulate minutes of the meeting five working days after the meeting for the TABASC's approval
- Administer the circulation list for TABASC papers and Minutes
- Manage the TABASC decisions, actions and risks and issues log
- Manage the TABASC section of the SEC website
- Support the operation of the TABASC and the fulfilment of its duties through:
 - co-ordination, and where directed by the TABASC undertaking, all inputs, analyses, assessments and consultations required to support the TABASC business;

- preparation of monthly updates to the Panel on the activities undertaken by the TABASC and drafting the TABASC input to the Panel's annual report as per SEC Section C2.3(h) for the TABASC's approval;
 - co-ordination of the TABASC's role in the SEC Modifications Process through the relevant SECAS Modification lead(s) and using the 'TABASC Principles for assessing Modification Proposals' document, to ensure a holistic and efficient process exists between the TABASC and the Change Board;
 - co-ordination of the TABASC's review of the effectiveness of the End-to-End Technical and Business Architecture and report any recommendations for action to the Panel;
 - maintenance of the TABASC Technical Architecture Document and Business Architecture Document ensuring End-to-End processes are captured in line with the current SEC.
- Facilitate the TABASC's review of any changes made to the DCC Release Management Policy and the Panel Release Management Policy;
 - Maintenance of the Central Products List and submission process;
Maintenance of the Firmware Information Repository; and
 - Maintenance of the list of Auxiliary Load Control Switch (ALCS) /HAN Controlled Auxiliary Load Control Switch (HCALCS) / Auxiliary Proportion Controller (APC) / Stand Alone Auxiliary Proportion Controller (SAPC) Labels.

4. Confidentiality and Disclosure

Given the potential sensitive nature of work of the TABASC, agenda items, papers and discussions will be assigned an information sharing level of either CLEAR, GREEN, AMBER, AMBER-STRICT or RED, as per the [SEC Panel Information Policy](#). As a TABASC Member, each participant will be asked to undertake in writing to abide by the confidentiality and disclosure provisions in relation to each information sharing level as described above, by signing the Confidentiality and Disclosure Agreement at Appendix A to these Terms of Reference.

Individuals who the TABASC Chair has invited to attend a meeting of the TABASC will also be asked to sign the Confidentiality and Disclosure Agreement but will only be permitted to attend the TABASC during discussions on agenda items relevant to their organisation.

TABASC Members who breach the rules of the confidentiality and disclosure provisions under any information sharing level may have their TABASC membership ceased.

5. Review

The Terms of Reference, membership and operation of the TABASC may be reviewed by the Chair at any time to ensure that they remain appropriate to reflect the duties and requirements of the SEC. Amendments to these Terms of Reference will be approved solely by the SEC Panel.

6. Definitions

For the purpose of adding clarity to the ToR, the terms in the left- hand column shall have the meaning given to them in the right- hand column, as defined in the SEC:

Term	Definition
Authority	means the Gas and Electricity Markets Authority as established under Section 1 of the Utilities Act 2000.
Alt HAN Arrangements	has the meaning given to that expression in condition 22.20(e) (Principal contents within the Smart Energy Code) of the DCC Licence.
Alt HAN Forum	means the body of that name established in accordance with Section Z.1.1 (Establishment of the Alt HAN Forum).
Alt Han Services	has the meaning given to that expression in Section Z6.1 (Definitions).
Business Architecture	means the business architecture which is designed to enable Parties to use the Services and/or to enable Parties, Energy Consumers and those acting on behalf of Energy Consumers to access the functionality described in the Technical Specifications.
Business Architecture Document	means a document that describes the Business Architecture.
Central Products List	has the meaning given to that expression in Section F2.1.
Change Board	Means the Sub-Committee established by the Panel to: (a) decide whether a Modification Proposal is ready for a DCC Impact Assessment to be requested; (b) consider each Modification report and the responses received in response to the Modification report consultation; (c) decide whether to approve or reject the Modification Proposal in the form set out in the modification report; and (d) decide whether to approve or reject a proposed Authority led variation.
Change Sub-Committee	means the Sub-Committee established by the Panel to facilitate the development, refinement and discussion of Draft Proposals prior to their progression as Modification Proposals.
Code Administrator	Has the meaning given to that expression in Section C7.1 (Code Administrator).
Competent Authority	means the Secretary of State, the Authority, and any local or regional or national agency, authority, department, inspectorate, minister, ministry, official or public or statutory person (whether autonomous or not) of the government of the United Kingdom (but only insofar as each has jurisdiction over the relevant Party, this Code or is subject matter).
DCC Release Management Policy	has the meaning given to the expression in Section H8.9
DCC Total System	means the Systems used by the DCC and/or the DCC Service Providers in relation to the Services and/or this Code, including the DCC User Interface, the SMETS1 SM WAN, the SMETS2+ SM WAN and Communications Hubs except for those Communications Hubs which are:

Term	Definition
	(a) SMETS1 CHs; (b) neither installed nor in the possession of the DCC; and/or (c) installed, but are not Commissioned.
Device	means one of the following individual devices: (a) an Electricity Smart Meter; (b) a Gas Smart Meter; (c) a Communications Hub Function; (d) a Gas Proxy Function; (e) a Pre-Payment Meter Interface Device; (f) a HAN Connected Auxiliary Load Control Switch; (g) any Type 2 Device.
Draft Proposal	means a proposal made in accordance with SEC section D Modification Process
Electricity Network Party	means a Party that holds an Electricity Distribution Licence.
End-to-End Technical Architecture	means the DCC Systems and the Smart Metering Systems together, including as documented in the Technical Code Specifications.
Gas Network Party	means a Party that holds a Gas Transporter Licence.
Home Area Network (HAN)	means, for each Smart Metering System, the home area network created by the Communications Hub Function forming part of that Smart Metering System.
Large Supplier Party	means a Supplier Party that is not a Small Supplier Party.
Modification Proposal	is the term applied to a Draft Proposal once the Panel has agreed it should be progressed further in accordance with Section D3.11 (Initial Consideration by the Panel).
Other SEC Party	means a Party that is not the DCC, is not a Network Party, and is not a Supplier Party.
Panel	means the body established in accordance with Section C2.1.
Party Category	Means, as the context requires, one of the following categories; (a) the Large Supplier Parties collectively; (b) the Small Supplier Parties collectively; (c) the Electricity Network Parties collectively; (d) the Gas Network Parties collectively; and (e) the Other SEC Parties collectively.
RDP Systems	means any Systems: (a) which are operated by or on behalf of an Electricity Distributor or Gas Transporter responsible for providing (or procuring the provision of) Registration Data in respect of a particular MPAN or MPRN; and (b) which are used in whole or in part for: (i) the collection, storage, Back-Up, processing or communication of that Registration Data prior to, or for the

Term	Definition
	purposes of, its provision to the DCC over the Registration Data Interface; (ii) generating Data for communication to the OCA, ICA or DCCICA, or receiving Data from the OCA, ICA or DCCICA (including any Systems which store or use Secret Key Material for such purposes), and any other Systems from which the Systems described in paragraphs (a) and (b) are not Separated.
Related Person	means, in relation to an individual, that individuals' spouse, civil partner, parent, grandparent, sibling, child, grandchild or other immediate family member; any partner with whom that individual is in partnership; that individual's employer; any Affiliate of such employer; any person by whom that individual was employed in the previous 12 months; and any company (or Affiliate of a company) in respect of which that individual (individually or collectively with any members of his immediate family) controls more than 20% of the voting rights.
SECCo	has the meaning given to that expression in Schedule 4.
SEC Objectives	means, in respect of Charging Methodology only, the Charging Objectives and, in all other cases, the General SEC Objectives.
Secretary of State	has the meaning given to that expression in the Interpretation Act 1978.
Small Supplier Parties	means a Supplier Party which, at the time at which it is necessary to assess the status of the Party, supplied electricity and/or gas to fewer than 250,000 (two hundred and fifty thousand) Domestic Premises.
Smart Metering Key Infrastructure (SMKI)	means the public key infrastructure established by the DCC for the purpose, among other things, of providing secure communications between Devices and Users.
Technical Architecture Document	means a document setting out a representation of the End-to-End Technical Architecture.
Technical Code Specifications	means the Technical Specifications, the GB Companion Specification, the DCC Gateway Connection Code of Connection, the DCC User Interface Code of Connection, the DCC User Interface Specification, the Self-Service Interface Access Control Specification, the SSI Baseline Requirements Document, the Self-Service Interface Code of Connection, the Registration Data Interface Documents, the Message Mapping Catalogue, the Incident Management Policy, the SEC Release Management Policy, the DCC Release Management Policy, the Smart Meter Key Infrastructure (SMKI) Interface Design Specification, the SMKI Code of Connection, the SMKI Repository Interface Design Specification, the SMKI Repository Code of Connection, and the SMETS1 Supporting Requirements.
Technical Specification	means each of the CHTS and the SMETS.

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

All other defined terms have the same meaning as that which is attributed to them in the SEC.

APPENDIX A

Confidentiality and Disclosure Agreement

I, the undersigned, have read and understood the Technical Architecture and Business Architecture Sub-Committee Terms of Reference.

I understand that I am required to comply with the confidentiality and disclosure obligations in respect of each of the four information sharing levels (CLEAR, GREEN, AMBER, AMBER-STRICT and RED), as set out in the Terms of Reference.

I understand that I must declare any conflict of interest that I have in writing to the TABASC Chair whether it exists now or during my continued membership of the group, as soon as I become aware that such a conflict exists.

I understand that should I fail to abide by the information sharing levels, confidentiality and disclosure obligations, or conflict arrangements (as set out in the Technical Architecture and Business Architecture Sub-Committee Terms of Reference) I may be excluded from the Technical Architecture and Business Architecture Sub-Committee.

Having understood and accepted the above statements, I therefore agree to abide by the Terms of Reference in my engagement with this group.

Name:

SEC Party Category:

Primary/Alternative Participant:

Signature:

Date:

Terms of Reference v2.3
Dated: (16/11/2020)