

SECTION A: DEFINITIONS AND INTERPRETATION

A1 DEFINITIONS

A1.1 In this Code, except where the context otherwise requires, the expressions in the left hand column below shall have the meanings given to them in the right hand column below:

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| Acceptance Testing | means testing of a software release undertaken by Users in order to determine whether the required specification for that software is met. |
| Access Control Broker | means the DCC, acting in the capacity and exercising the functions of the Known Remote Party role identified as such in the GB Companion Specification. |
| Accession Agreement | means an accession agreement entered into pursuant to Section B1 (Accession). |
| Acknowledgement | means, in respect of a communication sent by a User to the DCC over the DCC User Interface, a communication by the DCC to the User via the DCC User Interface acknowledging receipt of the User's communication. |
| Additional Interface Testing | has the meaning given to that expression in Section T3.34 (Additional Interface Testing). |
| Additional Interface Testing Objective | has the meaning given to that expression in Section T3.35 (Additional Interface Testing). |
| Additional Release Services | has the meaning given to that expression in Section X1.17 (Testing in respect of Additional Release Services). |
| Additional SIT | has the meaning given to that expression in Section |

T2.25 (Additional Systems Integration Testing).

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| Additional SIT Objective | has the meaning given to that expression in Section T2.26 (Additional Systems Integration Testing). |
| Additional SMKI and Repository Testing | has the meaning given to that expression in Section T5.30 (Additional SMKI and Repository Testing). |
| Additional SR Tests | has the meaning given to that expression in Section X1.17 (Testing in respect of Additional Release Services). |
| Additional SRT Objective | has the meaning given to that expression in Section T5.31 (Additional SMKI and Repository Testing). |
| Affected Party | has the meaning given to that expression in the definition of Force Majeure. |
| Affiliate | means, in relation to any person, any holding company of that person, any subsidiary of that person or any subsidiary of a holding company of that person, in each case within the meaning of section 1159 of the Companies Act 2006. |
| Agency for the Co-operation of Energy Regulators | means the agency of that name established under Regulation 2009/713/EC of the European Parliament and of the Council of 13 July 2009 establishing an Agency for the Co-operation of Energy Regulators. |
| Alert | has the meaning given to ‘Alert’ in the GB Companion Specification. |
| ALCS/HCALCS Labels List | has the meaning given to that expression on Section F11.1 (ALCS/HCALCS Labels List). |
| 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.

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| Alt HAN Charges | means the Fixed Alt HAN Charges calculated in accordance with Section K5A or K6B (as applicable) taken together with the Explicit Charges in respect of the Explicit Charging Metrics at Section K7.5(t) and (u). |
| 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). |
| Alternate | has the meaning given to that expression in Section C5.19 (Alternates). |
| Alternative Installation End Date | has the meaning given to that expression in Section A4.2(c) (Derogations). |
| Alternative Solution | has the meaning given to that expression in Section D6.16 (Alternative Solutions). |
| Anomalous Event | means, in relation to any System, an activity or event that is not expected to occur in the course of the ordinary operation of that System. |
| Anomaly Detection Threshold | <p>means:</p> <p>(a) in respect of a User ID used by a User in one or more of its User Roles, a number of communications within a period of time, where both that number and the period of time are set by the User in relation to that User ID;</p> <p>(b) in respect of the DCC (including when acting as a SMETS1 Service Provider), either:</p> |

- (i) a number of communications within a period of time, where both that number and the period of time are set by the DCC; or
- (ii) a maximum or minimum data value within a communication, where that value is set by the DCC,

in each case in accordance with the requirements of Section G6 applying (respectively) to the User or the DCC.

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| Applicability Period | has the meaning given to that expression in Section A3.29(d) (GB Companion Specification and CPA Security Characteristics). |
| Applicant | has the meaning given to that expression in Section B1.1 (Eligibility for Admission). |
| Application Association | has the meaning given to that expression in the Green Book (DLMS UA 1000-2 Ed. 8), published by the DLMS User Association. |
| Application Fee | has the meaning given to that expression in Section B1.5 (Application Fee). |
| Application Form | means a form requesting the information set out in Schedule 5 (and which must not request any further information), in such format as the Code Administrator may determine from time to time. |
| Application Guidance | has the meaning given to that expression in Section B1.4 (Application Form and Guidance). |
| Application Server | means a software framework that enables software applications to be installed on an underlying operating |

system, where that software framework and operating system are both generally available either free of charge or on reasonable commercial terms.

Appropriate Permission

means, in respect of a Communication Service or Local Command Service to be provided to a User in respect of a Smart Metering System at a premises that will result in the User obtaining Consumption Data, either:

- (a) (where that User is the Import Supplier, Export Supplier, Gas Supplier, Electricity Distributor or Gas Transporter for that Smart Metering System) that the User does not need consent to access that Consumption Data in accordance with its Energy Licence, or that the User has consent (whether explicit or implicit) in accordance with the requirements of its Energy Licence; or
- (b) (where that User is not the Import Supplier, Export Supplier, Gas Supplier, Electricity Distributor or Gas Transporter for that Smart Metering System) that the Energy Consumer has given the User Unambiguous Consent to obtain that Consumption Data and such consent has not been withdrawn.

Appropriate Standard

has the meaning given to that expression in Section G3.28(b) (SMETS1 Smart Metering Systems).

Approved Budget

has the meaning given to that expression in Section C8.13 (Approval of Budgets).

Approved Finance Party

means, in respect of each Communications Hub Finance Facility, the person to whom the DCC accepts

payment obligations under the Direct Agreement relating to that facility, and which has (from time to time) been notified by the DCC to the Authority and the Panel as meeting the requirements of this definition.

Associated

means:

- (a) in respect of a Smart Meter, that the Smart Meter is identified in the Smart Metering Inventory as being associated with a Communications Hub Function; and
- (b) in respect of any Device other than a Smart Meter or a Communications Hub Function, that the Device is identified in the Smart Metering Inventory as being associated with a Smart Meter or with a Gas Proxy Function,

and the expression “**Associate**” shall be interpreted accordingly.

Assurance Certificate

has the meaning given to that expression in Section F2.4 (Background to Assurance Certificates).

**Assurance Certification
Body**

has the meaning given to that expression in Section F2.3 (Background to Assurance Certificates).

Authentication Key

has the meaning given to that expression in the Green Book (DLMS UA 1000-2 Ed. 8), published by the DLMS User Association.

Authorised Business

in relation to the DCC, has the meaning given in the DCC Licence.

Authorised Subscriber

means SECCo, a Party or an RDP which is an Authorised Subscriber for the purposes of (and in accordance with the meaning given to that expression

in) any of the Certificate Policies.

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| Authority | means the Gas and Electricity Markets Authority as established under section 1 of the Utilities Act 2000. |
| Authority Determined Modification | has the meaning given to that expression in Section D2.6 (Authority Determined Modifications). |
| Authority-initiated Modification | has the meaning given to that expression in Section D2.4 (Authority-initiated Modifications). |
| Authority-Led Modification Report | has the meaning given to that expression in Section D9A.5 (Authority-Led Modification Report). |
| Authority-Led Variations | means variations to this Code proposed by the Authority pursuant to a direction under Section D9A (Authority-Led Variations). |
| Back-Up | means, in relation to Data which is held on any System, the storage of a copy of that Data for the purpose of ensuring that the copy may be used (if required) to restore or replace the original Data; and “Backed-Up” is to be interpreted accordingly. |
| Bank Guarantee | means an on demand bank guarantee in a form reasonably acceptable to the DCC from a bank with the Required Bank Rating which guarantee has not been breached or disclaimed by the provider and has at least one month left until it expires. |
| Batched Certificate Signing Request | has the meaning given to that expression in Section L8.2 (SMKI Services: Target Response Times). |
| BCDR Procedure | means the Business Continuity and Disaster Recovery Procedure. |

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| Bilateral Agreement | means an agreement entered into pursuant to Section H7 (Elective Communication Services) between the DCC and a User. |
| 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. |
| Business Continuity and Disaster Recovery Procedure | means that part of the Incident Management Policy which describes the business continuity and disaster recovery procedures applicable to the Services. |
| Business Continuity and Disaster Recovery Test | means a test of the operation of the DCC's disaster recovery and business continuity arrangements applicable to the Services. |
| Business Continuity and Disaster Recovery Test Schedule | means a document created by the DCC setting out its schedule for undertaking a Business Continuity and Disaster Recovery Test and the likely duration of any such test. |
| Cash Deposit | means a deposit of funds by or on behalf of the User into a bank account in the name of the DCC, such that title in such funds transfers absolutely to the DCC. |
| Central Products List | has the meaning given to that expression in Section F2.1 (Central Products List). |
| Certificate | means a Device Certificate, DCA Certificate, Organisation Certificate, OCA Certificate, IKI Certificate or ICA Certificate (or, for the purposes of |

any Certificate Policy in which the term is defined, it shall have the meaning ascribed to it in that Certificate Policy).

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| Certificate Policy | means the Device Certificate Policy, the Organisation Certificate Policy, or the IKI Certificate Policy. |
| Certificate Signing Request | means a request for a Certificate submitted by an Eligible Subscriber in accordance with the SMKI RAPP. |
| Certified Cyber Professional (CPP) | means the scheme of that name which is administered by NCSC, or any successor to that scheme. |
| Certified Products List | means those entries on the Central Products List which identify SMETS2+ Device Models. |
| CESG | means NCSC (and any reference to CESG in the Code shall be read as a reference to NCSC). |
| CH Batch Fault | has the meaning given to that expression in Section F9.20 (Liquidated Damages for CH Batch Faults). |
| CH Batch Fault Payment | has the meaning given to that expression in Section F9.21 (Liquidated Damages for CH Batch Faults). |
| CH Defect | means, in respect of a Communications Hub, any fault or defect in relation to the Communications Hub (including any failure: to conform in all respects with, and be fit for the purposes described in, the CHTS; to be free from any defect in design, manufacture, materials or workmanship; and to comply with all applicable Laws and/or Directives including with respect to product safety), which is not caused by a breach of this Code by a Party other than the DCC. |
| CH Fault Diagnosis | has the meaning given to that expression in Section |

F9.7 (CH Fault Diagnosis).

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| CH Handover Support Materials | means, in respect of each Region, the SEC Subsidiary Document of that name set out in Appendix H and applying to that Region. |
| CH Installation and Maintenance Support Materials | means, in respect of each Region, the SEC Subsidiary Document of that name set out in Appendix I and applying to that Region. |
| CH Order Management System | means that part of the CH Ordering System described as the 'Order Management System' in the CH Handover Support Materials. |
| CH Ordering System | has the meaning given to that expression in Section F5.20 (CH Ordering System). |
| CH Post-Installation DCC Responsibility | has the meaning given to that expression in Section F9.6 (Categories of Responsibility). |
| CH Pre-Installation DCC Responsibility | has the meaning given to that expression in Section F9.6 (Categories of Responsibility). |
| CH Support Materials | means the CH Handover Support Materials and the CH Installation and Maintenance Support Materials. |
| CH Type Fault | has the meaning given to that expression in Section F9.16 (Liquidated Damages for CH Type Faults). |
| CH Type Fault Payment | has the meaning given to that expression in Section F9.19 (Liquidated Damages for CH Type Faults). |
| CH User Responsibility | has the meaning given to that expression in Section F9.6 (Categories of Responsibility). |
| Change Board | has the meaning given to that expression in Section D8.1 (Establishment of the Change Board). |

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| Change Board Member | has the meaning given to that expression in Section D8.4 (Membership of the Change Board). |
| Change Sub-Committee | means the Sub-Committee established, or to whom the Panel has allocated the function of being such a Sub-Committee, pursuant to Section D2A (The Change Sub-Committee). |
| Charges | means the charges payable to the DCC pursuant to this Code (including pursuant to Bilateral Agreements). |
| Charging Methodology | means the methodology for determining the Charges, as set out in Section K (Charging Methodology). |
| Charging Objectives | has the meaning given to that expression in Section C1 (SEC Objectives). |
| Charging Statement | means, from time to time, the statement prepared by DCC pursuant to Condition 19 of the DCC Licence that is in force at that time. |
| CHECK | means the scheme of that name which is administered by NCSC, or any successor to that scheme. |
| Check Cryptographic Protection | <p>means, in respect of any electronic Data, to check the Digital Signature(s) or Message Authentication Code within those Data (as applicable) using:</p> <ul style="list-style-type: none">(a) the Public Key contained in the certificate issued by the relevant Certificate Authority associated with the Private Key of the person or device that those Data identify, or imply has generated the Digital Signature;(b) where applicable, the recipient's relevant Private Key; and |

- (c) the relevant algorithm identified in the certificate policy under which the relevant certificates were issued (or, where such certificate or certificate policy does not exist, the appropriate algorithm).

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| CHTS | means the Communications Hub Technical Specifications. |
| Citizens Advice | means the National Association of Citizens Advice Bureaux. |
| Citizens Advice Scotland | means the Scottish Association of Citizens Advice Bureaux. |
| Code | means this Smart Energy Code (including its Schedules and the SEC Subsidiary Documents). |
| Code Administration Code of Practice | means the document of that name as approved by the Authority from time to time. |
| Code Administration Code of Practice Principles | means the principles set out as such in the Code Administration Code of Practice. |
| Code Administrator | has the meaning given to that expression in Section C7.1 (Code Administrator). |
| Code Performance Measure | means a performance measure set out in Section D11.3 (Code Performance Measures), Section H13.1 (Code Performance Measures), or Section L8.6 (Code Performance Measures). |
| Command | means a communication to a Device in the format required by the GB Companion Specification and which incorporates all Digital Signatures and/or Message Authentication Codes required by the GB Companion Specification (or, in respect of a SMETS1 |

Device, means an Instruction).

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| Commercial Activities | includes, in particular, Energy Efficiency Services, Energy Management Services, Energy Metering Services, and Energy Price Comparison Services, in each case as defined in the DCC Licence and in relation to the Supply of Energy (or its use) under the Electricity Act and the Gas Act. |
| Commissioned | <p>means, in respect of a Device, that:</p> <p>(a) the Device has been commissioned in accordance with the Smart Metering Inventory Enrolment and Decommissioning Procedures or the Transition and Migration Approach Document; and</p> <p>(b) the Device has not subsequently been Decommissioned or Suspended,</p> <p>and "Commission" is to be interpreted in accordance with (a) above. A Communications Hub shall be considered to be Commissioned where the Communications Hub Function that forms part of that Communications Hub is Commissioned.</p> |
| Common Test Scenarios Document | means the SEC Subsidiary Document set out in Appendix R, which is originally to be developed pursuant to Section T6 (Development of Enduring Testing Documents). |
| Communication Services | means the Core Communication Services or the Elective Communication Services. |
| Communications Hub | means a physical device that includes a Communications Hub Function together with a Gas Proxy Function. |

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| Communications Hub Auxiliary Equipment | means any additional, replacement or spare equipment or packaging (not forming part of a Communications Hub) that may be required by a Supplier Party in relation to the installation, maintenance or return of a Communications Hub, as listed by the DCC on the CH Ordering System from time to time. |
| Communications Hub Charges | has the meaning given to the expression ‘Fixed CH Charges’ in Section K (Charging Methodology). |
| Communications Hub Finance Acceleration Event | <p>means, in respect of each Communications Hub Finance Facility, that:</p> <ul style="list-style-type: none">(a) an acceleration of repayment of the indebtedness thereunder occurs such that it is immediately due and payable by the borrower in circumstances where the DCC is liable for the same under the Direct Agreement; or(b) the DCC becomes liable under the Direct Agreement to immediately pay the unamortised asset value (and any associated finance costs in respect) of the Communications Hubs to which that facility relates. |
| Communications Hub Finance Charges | means, in respect of each Communications Hub Finance Facility, the DCC’s charge to recover the applicable Communications Hub Finance Costs (being a subset of the Communications Hub Charges), in an amount each month determined by the DCC at the time it produces an Invoice for that month (having regard to the requirements of Condition 36.5 of the DCC Licence). |

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| Communications Hub Finance Costs | means, in respect of each Communications Hub Finance Facility, the costs the DCC incurs in procuring the provision (but not the maintenance) of the tranche of Communications Hubs to which that facility relates. |
| Communications Hub Finance Facility | means a facility arranged by a DCC Service Provider with an Approved Finance Party relating exclusively to the funding of the costs associated with acquiring a tranche of Communications Hubs, including by way of a loan facility, an equity subscription, or an assignment or sale of receivables. |
| Communications Hub Forecast | has the meaning given to that expression in Section F5.2 (Communications Hub Forecasts). |
| Communications Hub Function | <p>means either a SMETS1 CHF; or that part of a device installed (or to be installed) at a premises, which:</p> <ul style="list-style-type: none"> (a) consists of the components or other apparatus identified in; and (b) as a minimum, has the functional capability specified by and complies with the other requirements of, <p>a Version of the CHTS (but excluding those provisions that are described as applying only to 'Gas Proxy Functions') which was within its Installation Validity Period on the date on which the device was installed.</p> |
| Communications Hub Hot Shoe | means equipment, other than a Smart Meter, to which a Communications Hub can be connected (provided the Communications Hub complies with the ICHIS). |
| Communications Hub Order | has the meaning given to that expression in Section F5.7 (Communications Hub Orders). |

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| Communications Hub Products | means, in respect of a Valid Communications Hub Order, the Communications Hubs of the applicable Device Models that are the subject of that order and/or the Communications Hub Auxiliary Equipment that is the subject of that order. |
| Communications Hub Services | means those Services described in Sections F5 (Communications Hub Forecasts & Orders), F6 (Delivery and Acceptance of Communications Hub), F7 (Installation and Maintenance of Communications Hubs), F8 (Removal and Return of Communications Hubs), and F9 (Categories of Communications Hub Responsibility). |
| Communications Hub Technical Specifications | means the document(s) set out in Schedule 10. |
| 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 or of the European Union (but only insofar as each has jurisdiction over the relevant Party, this Code or its subject matter). |
| Completion of Implementation | has the meaning given to that expression in Section X1 (General Provisions Regarding Transition). |
| Compromised | <p>means:</p> <p>(a) in relation to any System, that the intended purpose or effective operation of that System is compromised by the occurrence of any event which has an adverse effect on the confidentiality, integrity or availability of the</p> |

System or of any Data that are stored on or communicated by means of it;

- (b) in relation to any Device, that the intended purpose or effective operation of that Device is compromised by the occurrence of any event which has an adverse effect on the confidentiality, integrity or availability of the Device or of any Data that are stored on or communicated by means of it;
- (c) in relation to any Data, that the confidentiality, integrity or availability of that Data is adversely affected by the occurrence of any event;
- (d) in relation to any Secret Key Material, that that Secret Key Material (or any part of it), or any Cryptographic Module within which it is stored, is accessed by, or has become accessible to, a person not authorised to access it;
- (e) in relation to any Certificate, that any of the following Private Keys is Compromised:
 - (i) the Private Key associated with the Public Key that is contained within that Certificate;
 - (ii) the Private Key used by the relevant Certification Authority to Digitally Sign the Certificate; or
 - (iii) where relevant, the Private Key used by the relevant Certification Authority to Digitally Sign the Certification Authority Certificate associated with the Private

Key referred to in (ii);~~and~~

(f) in relation to any DCCKI Certificate, that any of the following Private Keys is Compromised:

(i) the Private Key associated with the Public Key that is contained within that DCCKI Certificate;

(ii) the Private Key used by the DCCKICA to Digitally Sign the DCCKI Certificate;
or

(iii) where relevant, the Private Key used by the DCCKICA to Digitally Sign the DCCKICA Certificate associated with the Private Key referred to in (ii);~~and~~

(g) in relation to any certificate issued under an S1SPKI (the 'end certificate'), that any of the following Private Keys is Compromised:

(i) the Private Key associated with the Public Key that is contained within that end certificate;

(ii) any other Private Key that has been used to Digitally Sign any certificate that may be used to link the end certificate to the root certificate for that S1SPKI; and

(g)(h) in relation to any process or to the functionality of any hardware, firmware or software, that the intended purpose or effective operation of that process or functionality is compromised by the occurrence of any event which has an adverse effect on its confidentiality, integrity or availability,

(and “**Compromise**” and “**Compromising**” are to be interpreted accordingly).

Confidential Information means, in respect of a Party other than DCC, the Data belonging or relating to that Party or that otherwise becomes available to the DCC as a result (whether directly or indirectly) of that Party being a party to this Code.

Confirm Validity means:

- (a) where the person carrying out the check has not previously done so in relation to a particular certificate, to successfully confirm the certificate path validation by using:
 - (i) the path validation algorithm specified in IETF RFC 5280; or
 - (ii) where the algorithm identified in IETF RFC 5280 is not appropriate for the certificate for which validity is being confirmed, such other certificate path validation as is appropriate in relation to that type of certificate; or
- (b) where the person carrying out the check has previously carried out the check in paragraph (a) in relation to a particular certificate, that the certificate has not subsequently been revoked, and its validity period has not expired.

Consignment has the meaning given to that expression in Section F5.9 (Communications Hub Orders).

Consultation Summary has the meaning given to that expression in Section D6.14 (Working Group Consultation).

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| Consumer Data | has the meaning given to that expression in Section M5.6 (Consumer Data). |
| Consumer Member | has the meaning given to that expression in Section C3.1 (Panel Composition). |
| Consumer Prices Index | means, in respect of any month, the consumer prices index (CPI) published for that month by the Office of National Statistics. |
| Consumption Data | means, in respect of a premises, the quantity of electricity or gas measured by the Energy Meter as having been supplied to the premises. |
| Contingency Key Pair | has the meaning given to that expression in Section L10.30(e) (Definitions). |
| Contingency Private Key | has the meaning given to that expression in Section L10.30(e)(i) (Definitions). |
| Contingency Public Key | has the meaning given to that expression in Section L10.30(e)(ii) (Definitions). |
| Core Communication Services | means the provision of the Services set out in the DCC User Interface Services Schedule, but excluding the Enrolment Services and Local Command Services. |
| Correlate | <p>means, in respect of one or more Pre-Commands received by a User from the DCC in respect of a Service Request sent by that User, carrying out a process to check that the relevant contents of the Pre-Command is substantively identical to that of the Service Request using either (at the User's discretion):</p> <ul style="list-style-type: none"> (a) the Parse and Correlate Software; or (b) equivalent software procured or developed by the User in accordance with Good Industry |

Practice,

and “**Correlated**” shall be interpreted accordingly.

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| CoS Party | means the DCC when performing the tasks ascribed to the CoS Party in the Service Request Processing Document. |
| Countersigned | means, in respect of any electronic Data, that such Data have had a Digital Signature applied to them by the DCC in circumstances in which the DCC is required to 'Countersign' the Data, as described in the DCC User Interface Specification (and “ Countersign ” and “ Countersigning ” are to be interpreted accordingly). |
| Countersigned SMETS1 Alert | has the meaning given to that expression in the DCC User Interface Specification. |
| Countersigned SMETS1 Response | has the meaning given to that expression in the DCC User Interface Specification. |
| Countersigned S1SP Alert | has the meaning given to that expression in the DCC User Interface Specification. |
| Countersigned Service Request | means a communication sent by the DCC to a SMETS1 Service Provider in the circumstances set out in the Service Request Processing Document. |
| CPA Assurance Maintenance Plan | means the document agreed with the NCSC that describes the components of a device which, if changed, will require a new CPA Certificate to be issued. |
| CPA Certificates | has the meaning given to that expression in Section F2.4 (Background to Assurance Certificates). |

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| CPA Certificate Remedial Plan | means a remedial plan for resolving the security issues that have resulted in or arisen from (or will result in or arise from) the cancellation, withdrawal or expiry without renewal, of a Device Model's CPA Certificate, as further described in the CPL Requirements Document. |
| CPA Security Characteristics | <p>means the documents published from time to time on the NCSC website that set out the features, testing and deployment requirements necessary to obtain a CPA Certificate in respect of one or more of the following:</p> <ul style="list-style-type: none"> (a) 'Gas Smart Metering Equipment'; (b) 'Electricity Smart Metering Equipment'; (c) 'Communications Hubs'; (d) 'HAN Connected Auxiliary Load Control Switches'. |
| CPL Requirements Document | means the SEC Subsidiary Document of that name set out as Appendix Z. |
| Credit Assessment Score | means, in respect of a Party, a credit assessment score in respect of that Party procured from one of the credit assessment companies named in Section J3.8 (Party's Unsecured Credit Factor). |
| Credit Cover Requirement | has the meaning given to that expression in Section J3.2 (Calculation of Credit Cover Requirement). |
| Credit Cover Threshold | means, in respect of each Regulatory Year, £2,000, multiplied by the Consumer Prices Index for the October preceding the start of that Regulatory Year, divided by the Consumer Prices Index for October 2014. The relevant amount will be rounded to the |

nearest pound.

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| Credit Support | means one or more of a Bank Guarantee, Cash Deposit and/or Letter of Credit procured by a User pursuant to Section J3 (Credit Cover). |
| CREST | means the not-for-profit company registered in the United Kingdom with company number 06024007. |
| Critical Command | has the meaning given to that expression in the GB Companion Specification. |
| Critical Service Request | means a Service Request which is identified as critical in the DCC User Interface Specification (or, in the case of Elective Communication Services, the relevant Bilateral Agreement). |
| Critical Service Response | means a Service Response in respect of a Critical Service Request. |
| Cryptographic Credential Token | means a token compliant with FIPS 140-2 Level 3 (or any equivalent to that Federal Information Processing Standard which updates or replaces it from time to time) and containing Secret Key Material, as issued in accordance with the SMKI RAPP. |
| Cryptographic Hash Function | <p>means an algorithm:</p> <ul style="list-style-type: none">(a) the inputs to which it would be computationally infeasible to determine from knowledge of its outputs; and(b) in relation to which it would be computationally infeasible to find an input which generates the same output as any other input. |
| Cryptographic Module | means a set of hardware, software and/or firmware that is Separated from all other Systems and that is |

designed for:

- (a) the secure storage of Secret Key Material; and
- (b) the implementation of Cryptographic Processing without revealing Secret Key Material.

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| Cryptographic Processing | means the generation, storage (other than of Secret Key Material used in relation to communications with a SMETS1 Device, where that Secret Key Material is encrypted) or use of any Secret Key Material. |
| CSV file | has the meaning given to that expression in the Threshold Anomaly Detection Procedures. |
| Data | means any information, data, knowledge, figures, methodologies, minutes, reports, forecasts, images or sounds (together with any database made up of any of these) embodied in any medium (whether tangible or electronic). |
| Data Controller | has the meaning given to 'controller' in the Data Protection Legislation. |
| Data Processor | has the meaning given to 'processor' in the Data Protection Legislation. |
| Data Protection Legislation | means General Data Protection Regulation and any national legislation implementing the same and related statutory instruments. |
| Data Retention Policy | means a document developed and maintained by a Party which sets out, in relation to Data held by that Party, the periods for which such Data will be held by it for the purpose of ensuring that it is able to satisfy |

its legal, contractual and commercial requirements in respect of the Data.

Data Subject

has the meaning given to that expression in the Data Protection Legislation.

Data Subject Rights

means the rights of Data Subjects under the Data Protection Legislation.

DCA Certificate

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

DCC

means, subject to Section M9 (Transfer of DCC Licence), the holder from time to time of the DCC Licence. In accordance with Section A2.1(l), references to the DCC shall (where applicable) include references to the DCC Service Providers with whom the DCC has contracted in order to secure performance of its obligations under this Code.

DCC Alert

has the meaning given to that expression in the DCC User Interface Specification.

DCC Assessment

means a DCC Preliminary Assessment or a DCC Impact Assessment.

DCC Gateway Bandwidth Option

means a DCC Gateway HV Connection or a DCC Gateway LV Connection.

DCC Gateway Connection

means, for a premises, the physical infrastructure by which a connection is (or is to be) made between that premises and the DCC Systems (and each DCC Gateway Connection shall form part of the DCC Systems).

DCC Gateway Connection

means the SEC Subsidiary Document set out in

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| Code of Connection | Appendix G. |
| DCC Gateway Equipment | means, for each premises and any DCC Gateway Connection provided at that premises, that part of the DCC Gateway Connection that is (or is to be) located within that premises. |
| DCC Gateway HV Connection | means the high-volume technology solution by which the DCC provides DCC Gateway Connections, as further described in the DCC Gateway Connection Code of Connection. |
| DCC Gateway LV Connection | means the low-volume technology solution by which the DCC provides DCC Gateway Connections, as further described in the DCC Gateway Connection Code of Connection. |
| DCC Gateway Party | means a Party that is seeking or has been provided with a DCC Gateway Connection at its premises, or to whom the right to use that connection has been transferred in accordance with Section H15.16 (Use of a DCC Gateway Connection). |
| DCC ID | means each identification number established by the DCC pursuant to Section H4.43 (DCC IDs). |
| DCC Impact Assessment | means, in respect of analysis pursuant to Section D6.9 (Analysis by the DCC), a full and formal assessment by the DCC of the determined area for analysis. |
| DCC Independent Security Assessment Arrangements | has the meaning given to that expression in Section G9.1 (The DCC Independent Security Assessment Arrangements). |
| DCC Independent Security Assurance Service Provider | has the meaning given to that expression in Section G9.4 (The DCC Independent Security Assurance |

Service Provider).

DCC Individual Live System

means, with regard to the DCC's duty to Separate parts of the DCC Total System, a part of the DCC Total System which is used:

- (a) for one of the purposes specified in paragraphs (a) to (g) of the definition of DCC Live Systems, where the part used for each such purpose shall be treated as an individual System distinct from:
 - (i) the part used for each other such purpose; and
 - (ii) any part used for a purpose specified in either paragraph (h) or (i) of the definition of DCC Live Systems; or
- (b) by a SMETS1 Service Provider for the purpose specified in paragraph (h) of the definition of DCC Live Systems, where the part used by each SMETS1 Service Provider shall be treated as an individual System distinct from:
 - (i) the part used by each other SMETS1 Service Provider; and
 - (ii) any part used for a purpose specified in any of paragraphs (a) to (g), or paragraph (i), of the definition of DCC Live Systems; or
- (c) by a DCO for the purpose specified in paragraph (i) of the definition of DCC Live Systems, where the part used by each DCO shall be treated as an individual System distinct from:

- (i) the part used by each other DCO; and
- (ii) any part used for a purpose specified in any of paragraphs (a) to (h) of the definition of DCC Live Systems.

DCC Interfaces

means each and every one of the following interfaces:

- (a) the DCC User Interface;
- (b) the Registration Data Interface;
- (c) the SMKI Repository Interface;
- (d) the SMKI Services Interface;
- (e) the Self-Service Interface; and
- (f) the communications interfaces used for the purposes of accessing those Testing Services designed to be accessed via DCC Gateway Connections.

DCC Internal Security Controls

means security controls applied by the DCC in relation to SMETS1 Service Requests in a manner consistent with the End-To-End Security Architecture.

DCC Internal Systems

means those aspects of the DCC Total System for which the specification or design is not set out in this Code.

DCC IT Supporting Systems

means, with regard to the DCC's duty to Separate parts of the DCC Total System, those parts of the DCC Total System which are used to support the DCC Live Systems and DCC IT Testing and Training Systems.

DCC IT Testing and

means, with regard to the DCC's duty to Separate parts of the DCC Total System, those parts of the DCC

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| Training Systems | Total System which are used to support the testing and training of DCC Personnel and third parties in relation to the provision of Services by the DCC. |
| DCC Key Infrastructure (or DCKI) | means the public key infrastructure established by DCC to provide, amongst other things, transport layer security across DCC Gateway Connections. |
| DCC Licence | means the licences granted under section 6(1A) of the Electricity Act and section 7AB(2) of the Gas Act. |
| DCC Live Systems | <p>means those parts of the DCC Total System which are used for the purposes of:</p> <ul style="list-style-type: none">(a) (other than to the extent to which the activities fall within paragraph (b), (c), (f), (g), (h) or (i) below) processing (including Countersigning of SMETS1 Responses, SMETS1 Alerts and SISP Alerts, but not Countersigning of SMETS1 Service Requests) Service Requests, Pre-Commands, Commands, Instructions, Service Responses and Alerts, holding or using Registration Data for the purposes of processing Service Requests and Signed Pre-Commands, and providing the Repository Service;(b) (other than to the extent to which the activity falls within paragraph (i) below) Threshold Anomaly Detection (other than that carried out by a DCO) and (other than to the extent to which the activity falls within paragraph (d), (f), (g), (h), or (i) below) Cryptographic Processing relating to the generation and use of a Message Authentication Code and Countersigning SMETS1 Service Requests; |

- (c) discharging the obligations placed on the DCC in its capacity as CoS Party;
- (d) providing SMKI Services;
- (e) the Self-Service Interface;
- (f) discharging the DCC's obligations under the SMKI Recovery Procedure;
- (g) the Production Proving Systems;
- (h) discharging the obligations of any SMETS1 Service Provider in its capacity as such; and
- (i) discharging the obligations of any DCO in its capacity as such.

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| DCC Member | has the meaning given to that expression in Section C3.1 (Panel Composition). |
| DCC Personnel | means those persons who are engaged by the DCC, in so far as such persons carry out, or are authorised to carry out, any activity in relation to the Authorised Business. |
| DCC Preliminary Assessment | <p>means, in respect of analysis pursuant to Section D6.9 (Analysis by the DCC):</p> <p>a preliminary assessment by the DCC of the determined area for analysis; and</p> <p>the costs and expenses that the DCC will incur in undertaking a DCC Impact Assessment in respect of the determined area for analysis.</p> |
| DCC Release Management Policy | has the meaning given to that expression in Section H8.9 (Release Management). |

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| DCC Security Assessment Report | has the meaning given to that expression in Section G9.7(a) (DCC Security Assessment Reports and Responses). |
| DCC Security Assessment Response | has the meaning given to that expression in Section G9.7(b) (DCC Security Assessment Reports and Responses). |
| DCC Service Provider | means an External Service Provider, as defined in the DCC Licence (but always excluding the DCC itself). |
| DCC Service Provider Contract | means, as between the DCC and each DCC Service Provider, any arrangement (however described) pursuant to which the DCC procures services for the purpose of providing the Services. |
| DCC Systems | means the DCC Total System, including the SMETS1 SM WAN and the SMETS2+ SM WAN, but excluding all Communications Hubs. |
| DCC Total System | <p>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:</p> <ul style="list-style-type: none"> (a) SMETS1 CHs; (b) neither installed nor in the possession of the DCC; and/or (c) installed, but are not Commissioned. |
| DCC User Interface | means the communications interface designed to allow the communications referred to in Section H3.3 (Communications to be sent via the DCC User |

Interface) to be sent between the DCC and Users.

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| DCC User Interface Code of Connection | means the SEC Subsidiary Document of that name set out in Appendix AE. |
| DCC User Interface Services | means the Services described in the DCC User Interface Services Schedule. |
| DCC User Interface Services Schedule | means the SEC Subsidiary Document of that name set out in Appendix E. |
| DCC User Interface Specification | means the SEC Subsidiary Document set out in Appendix AD. |
| DCC Website | means the DCC's publicly available website (or, where the Panel and the DCC so agree, the Website). |
| DCCKI Authorised Subscriber | means a Party or RDP which is a DCCKI Authorised Subscriber for the purposes of (and in accordance with the meaning given to that expression in) the DCCKI Certificate Policy. |
| DCCKI Authority Revocation List (or DCCKI ARL) | has the meaning given to that expression in the DCCKI Certificate Policy. |
| DCCKI Certificate | has the meaning given to that expression in the DCCKI Certificate Policy. |
| DCCKI Certificate Policy | means the SEC Subsidiary Document of that name set out in Appendix S. |
| DCCKI Certificate Revocation List (or DCCKI CRL) | has the meaning given to that expression in the DCCKI Certificate Policy. |
| DCCKI Certificate Signing | means a request for a DCCKI Certificate submitted by a DCCKI Eligible Subscriber in accordance with the |

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| Request | DCCKI Certificate Policy and the DCCKI RAPP. |
| DCCKI Certification Authority (or DCCKICA) | has the meaning given to that expression in the DCCKI Certificate Policy. |
| DCCKI Certification Practice Statement (or DCCKI CPS) | has the meaning given to that expression in Section L13.37 (the DCCKI Certification Practice Statement). |
| DCCKI Code of Connection | means the SEC Subsidiary Document of that name set out in Appendix V, which: <ul style="list-style-type: none"> (a) has the purpose described in Section L13.14 (DCCKI Code of Connection); and (b) is originally to be developed pursuant to Sections L13.15 to L13.16 (DCCKI Interface Document Development). |
| DCCKI Document Set | has the meaning given to that expression in Section L13.33 (the DCCKI Document Set). |
| DCCKI Eligible Subscriber | has the meaning given to that expression in Section L13.8 (DCCKI Eligible Subscribers). |
| DCCKI Infrastructure Certificate | has the meaning given to that expression in the DCCKI Certificate Policy. |
| DCCKI Interface Design Specification | means the SEC Subsidiary Document of that name set out in Appendix T, which: <ul style="list-style-type: none"> (a) has the purpose described in Section L13.13 (DCCKI Interface Design Specification); and (b) is originally to be developed pursuant to Sections L13.15 to L13.16 (DCCKI Interface Document Development). |
| DCCKI Participants | means the DCC (acting in its capacity as the provider |

of the DCCKI Services), all DCCKI Subscribers and all DCCKI Relying Parties.

DCCKI PMA Functions has the meaning given to that expression in Section L13.54 (the DCCKI PMA Functions).

DCCKI Registration Authority means the DCC, acting in its capacity as such for the purposes of (and in accordance with the meaning given to that expression in) the DCCKI Certificate Policy.

DCCKI Registration Authority Policies and Procedures (or DCCKI RAPP) means the SEC Subsidiary Document of that name set out in Appendix W, which is originally to be developed pursuant to Sections L13.35 to L13.36 (the DCCKI Registration Authority Policies and Procedures: Document Development).

DCCKI Relying Party means a person who, pursuant to the Code, receives and relies upon a DCCKI Certificate.

DCCKI Repository has the meaning given to that expression in Section L13.17 (the DCCKI Repository).

DCCKI Repository Code of Connection means the SEC Subsidiary Document of that name set out in Appendix V, which:

- (a) has the purpose described in Section L13.28 (DCCKI Repository Code of Connection); and
- (b) is originally to be developed pursuant to Sections L13.29 to L13.30 (DCCKI Repository Interface Document Development).

DCCKI Repository Interface has the meaning given to that expression in Section L13.26 (the DCCKI Repository Interface).

DCCKI Repository Interface Design means the SEC Subsidiary Document of that name set out in Appendix U, which:

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| Specification | <p>(a) has the purpose described in Section L13.27 (DCCKI Repository Interface Design Specification); and</p> <p>(b) is originally to be developed pursuant to Sections L13.29 to L13.30 (DCCKI Repository Interface Document Development).</p> |
| DCCKI Repository Service | has the meaning given to that expression in Section L13.18 (the DCCKI Repository Service). |
| DCCKI SEC Documents | has the meaning given to that expression in Section L13.34 (the DCCKI SEC Documents). |
| DCCKI Service Interface | has the meaning given to that expression in Section L13.12 (the DCCKI Service Interface). |
| DCCKI Services | has the meaning given to that expression in Section L13.1 (the DCCKI Services). |
| DCCKI Subscriber | means, in relation to any DCCKI Certificate, a Party or RDP which has been Issued with and accepted that Certificate, acting in its capacity as the holder of the Certificate. |
| DCCKICA Certificate | has the meaning given to that expression in the DCCKI Certificate Policy. |
| DCO | means the DCC when carrying out the role and activities ascribed to a DCO in this Code. |
| Decommissioned | means, in respect of a Device that has previously been Commissioned, that the Device has been decommissioned in accordance with Section H6.1 (Decommissioning). |
| Default Interest Rate | means, for any day, 8% above the base lending rate of |

the Bank of England at 13.00 hours on that day.

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| Defaulting Party | has the meaning given to that expression in Section M8.1 (Events of Default). |
| Delivery Batch | means all the Communications Hubs that were delivered pursuant to Section F6 (Delivery and Acceptance of Communications Hubs) to a single location during a month (regardless of whether they were delivered pursuant to more than one Communications Hub Order by more than one Party). |
| Delivery Date | has the meaning given to that expression in Section F5.8 (Communications Hub Orders). |
| Delivery Location | has the meaning given to that expression in Section F5.8 (Communications Hub Orders). |
| Delivery Month | has the meaning given to that expression in Section F5.8 (Communications Hub Orders). |
| Delivery Quantity | has the meaning given to that expression in Section F5.8 (Communications Hub Orders). |
| Delivery Window | means, for each delivery of Communications Hub Products to a Delivery Location, the time period on the applicable Delivery Date within which the DCC is to deliver the Communications Hub Products, as established in accordance with the CH Handover Support Materials. |
| Denial of Service Event | means any unauthorised attempt to make any part of a System wholly or partially unavailable for use for a period of time. |
| Deployed Products List | means the list published by the Panel pursuant to Section F2.10 (Deployed Products List). |

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| Derogation | has the meaning given to that expression at Section A4.2. |
| Designated Premises | means Non-Domestic Premises defined as Designated Premises within the meaning given to that expression in the Electricity Supply Licences or the Gas Supply Licences. |
| Detailed Evaluation | has the meaning given to that expression in Section H7.7 (Detailed Evaluation of Elective Communication Services). |
| 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; and (g) any Type 2 Device. |
| Device Alert | has the meaning given to that expression in the DCC User Interface Specification. |
| Device and User System Tests | has the meaning given to that expression in Section H14.31 (Device and User System Tests). |
| Device Certificate | has the meaning given to that expression in Annex A of the Device Certificate Policy. |
| Device Certificate Policy | means the SEC Subsidiary Document of that name set out in Appendix A. |
| Device Certification Authority (or DCA) | has the meaning given to that expression in Annex A of the Device Certificate Policy. |
| Device Certification Practice Statement (or | has the meaning given to that expression in Section L9.8 (the Device Certification Practice Statement). |

Device CPS)

Device ID

means:

- (a) in relation to a SMETS2+ Device, the unique number by which an individual Device can be identified, as allocated to that Device in accordance with the applicable version of the GB Companion Specification; or
- (b) in relation to a SMETS1 Device, the unique number complying with the SMETS1 Supporting Requirements and by which the Device can be identified.

Device Log

means, in respect of a SMETS2+ Device (excluding Type 2 Devices), the electronic record within that Device which records the other Devices from which that Device can receive Data via the HAN. In respect of a SMETS1 Device, it shall have the meaning in the SMETS1 Supporting Requirements.

Device Model

means, in respect of a Communications Hub or a Device (other than a Communications Hub Function or a Gas Proxy Function), the Manufacturer, the model, the hardware version and the firmware version of the Communications Hub or Device.

Device Security Credentials

means:

- (a) in respect of any SMETS2+ Device (other than a Type 2 Device), the Device's active Device Certificates and the electronic record within that Device of information from any other Certificates required to be held on the Device in

order to execute the functionality of that Device specified in the GB Companion Specification;

- (b) in respect of a SMETS1 Device, the Device Security Credentials required by the SMETS1 Supporting Requirements.

Device Selection

has the meaning given to that expression in Section T1.3 (Device Selection Methodology).

Methodology

Device Type

means, in respect of a Device, a generic description of the category of Devices into which the Device falls.

Digital Signature

means, in respect of any electronic Data, a digital signature generated using:

- (a) the entirety of those Data (excluding the digital signature itself and, to the extent specified in the code, any other parts of those Data);
- (b) a Private Key; and
- (c) the signature algorithm defined in the certificate profile in the certificate policy under which the certificate associated with that Private Key was issued or (where such certificate policy does not exist) the signature algorithm relevant to that certificate.

Digitally Signed

means, in respect of any electronic Data, that such Data have had the necessary Digital Signatures applied to them (and “**Digitally Sign**” and “**Digitally Signing**” are to be interpreted accordingly).

Direct Agreement

means, in respect of each Communications Hub Finance Facility, any agreement entered into by the DCC in relation to that facility under which the DCC

owes direct payment obligations.

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| Disaster | means an event that causes one or more of the 'DCC Disaster Impacts' listed in the BCDR Procedure. |
| Dispute | means any dispute or difference (of whatever nature) arising under, out of or in connection with this Code and/or any Bilateral Agreement. |
| DLMS Certificates | has the meaning given to that expression in Section F2.4 (Background to Assurance Certificates). |
| DLMS User Association | means the association of that name located in Switzerland (see - www.dlms.com). |
| Domestic Premises | means premises at which a Supply of Energy is or will be taken wholly or mainly for domestic purposes, which is to be interpreted in accordance with Condition 6 of the relevant Energy Supply Licence. |
| Draft Budget | has the meaning given to that expression in Section C8.11 (Preparation of Draft Budgets). |
| Draft Proposal | has the meaning given to that expression in Section D1.2 (Modifications). |
| Dual Band Communications Hub | has the meaning given to that expression in the CHTS. |
| Dual Band Communications Hub Configuration Tables | means the technical document set out as an annex to Section F4 (Operational Functionality, Interoperability and Access for the DCC). |
| Due Date | has the meaning given to that expression in Section J1.5 (Payment of Charges). |
| DUIS | means the DCC User Interface Specification. |

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| DUIS XML Schema | means, in relation to any version of the DCC User Interface Specification, the version of the DUIS XML Schema contained within it, as specified in the defined term 'DUIS XML Schema' in that version of the DCC User Interface Specification. |
| EII DCCKICA Certificate | has the meaning given to that expression in the DCCKI Certificate Policy. |
| EII DCCKICA Certificate Revocation List (or EII DCCKICA CRL) | has the meaning given to that expression in the DCCKI Certificate Policy. |
| Elected Members | has the meaning given to that expression in Section C3.1 (Panel Composition). |
| Elective Communication Services | means the provision of communication services that are (or are to be) defined in a Bilateral Agreement (rather than the DCC User Interface Services Schedule) in a manner that involves communication via the SM WAN (provided that such services must relate solely to the Supply of Energy or its use). |
| Electricity Act | means the Electricity Act 1989. |
| Electricity Distribution Licence | means a licence granted, or treated as granted, under section 6(1)(c) of the Electricity Act. |
| Electricity Distributor | means, for a Smart Metering System or a Device, the holder of the Electricity Distribution Licence for the network to which the relevant premises are connected. |
| Electricity Meter | means any meter that conforms to the requirements of paragraph 2 of schedule 7 to the Electricity Act and is used for the purpose of measuring the quantity of electricity that is supplied to premises. |

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| Electricity Network Party | means a Party that holds an Electricity Distribution Licence. |
| Electricity Smart Meter | <p>means either a SMETS1 ESME; or a device installed (or to be installed) at a premises, which:</p> <p>(a) consists of the components or other apparatus identified in; and</p> <p>(b) as a minimum, has the functional capability specified by and complies with the other requirements of,</p> <p>the part(s) of the SMETS identified as applying to 'Electricity Smart Metering Equipment' (and, where applicable, the part(s) relevant to the Physical Device Type in question) in a Version of the SMETS which was within its Installation Validity Period on the date on which the device was installed.</p> |
| Electricity Supplier Party | means a Party that holds an Electricity Supply Licence (regardless of whether that Party also holds a Gas Supply Licence). |
| Electricity Supply Licence | means a licence granted, or treated as granted, pursuant to section 6(1)(d) of the Electricity Act. |
| Eligible Subscriber | has the meaning given to that expression in Section L3.15 (Eligible Subscribers). |
| Eligible User | means, in respect of a Service set out in the DCC User Interface Services Schedule or an Elective Communication Service and (in either case) a Smart Metering System (or a Device forming, or to form, part of a Smart Metering System), one of the Users eligible to receive that Service in respect of that Smart Metering System (or such a Device), as further |

described in Section H3.8 (Eligibility for Services).

Eligible User Role

means, in respect of a Service set out in the DCC User Interface Services Schedule or an Elective Communication Service, one of the User Roles that is capable of being an Eligible User in respect of that Service (determined without reference to a particular Smart Metering System or Device).

Enabling Services

means one or more of the Enrolment Service, the Communications Hub Service, and the Other Enabling Services.

Encrypt

means, in respect of Section H4 (Processing Service Requests), the process of encoding Data using the methods set out for that purpose in the GB Companion Specification; and “**Encrypted**” shall be interpreted accordingly.

End-to-End Security Architecture

means a document that describes how the security controls in respect of smart metering relate to the architecture of the End-to-End Smart Metering System.

End-to-End Smart Metering System

means the DCC Total System, all Enrolled Smart Metering Systems, all User Systems and all RDP Systems.

End-to-End Technical Architecture

means the DCC Systems and the Smart Metering Systems together, including as documented in the Technical Code Specifications.

End-to-End Testing

means the testing described in Section T4 (End-to-End Testing).

End-to-End Testing

has the meaning given to that expression in Section

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| Approach Document | T4.4 (End-to-End Testing Approach Document). |
| Enduring Testing Approach Document | means the SEC Subsidiary Document set out in Appendix J, which is originally to be developed pursuant to Section T6 (Development of Enduring Testing Documents). |
| Energy Code | means a multilateral code or agreement maintained pursuant to one or more of the Energy Licences. |
| Energy Consumer | means a person who receives, or wishes to receive, a Supply of Energy at any premises in Great Britain. |
| Energy Licence | means a licence that is granted, or treated as granted, under section 6 of the Electricity Act or under section 7, 7A or 7AB of the Gas Act. |
| Energy Meter | means an Electricity Meter or a Gas Meter. |
| Energy Supply Licence | means an Electricity Supply Licence or a Gas Supply Licence. |
| Enrolment | means, in respect of a Smart Metering System, the act of enrolling that Smart Metering System in accordance with the Enrolment Service (and the words “ Enrol ” and “ Enrolled ” will be interpreted accordingly). |
| Enrolment Service | means the Service described in Section H5 (Enrolment Services and the Smart Metering Inventory). |
| Equivalent Steps | means in relation to a SMETS1 Device and/or a SMETS1 Service Request, those steps that are required to be taken such that: <ul style="list-style-type: none"> (a) the relevant Device is, or Data relating to it, are configured or reconfigured; or (b) Data that are stored on, or in relation to or |

generated by, that Device are retrieved,

so as to have an effect that is equivalent to that which would occur were a Service Request of the same Service Reference Variant as the SMETS1 Service Request to be Successfully Executed on a SMETS2+ Device equivalent to the SMETS1 Device (taking into account the different design functionality of the SMETS1 Device and, where relevant, any specific requirements for alternative processing set out in the SMETS1 Supporting Requirements), and such that the appropriate SMETS1 Response(s) and SMETS1 Alert(s) can be generated.

EU Regulations

means:

- (a) Regulation 2009/714/EC of the European Parliament and of the Council of 13 July 2009 on conditions for access to the network for cross-border exchange in electricity and repealing Regulation 2003/1228/EC; and
- (b) Regulation 2009/715/EC of the European Parliament and of the Council of 13 July 2009 on conditions for access to the national gas transmission networks and repealing Regulation 2005/1775/EC, as amended by Commission Decision 2010/685/EU of 10 November 2010 amending Chapter 3 of Annex I to Regulation 2009/715/EC of the European Parliament and of the Council on conditions for access to the natural gas transmission networks.

EUI-64 Compliant

means a 64-bit globally unique identifier governed by the Institute of Electrical and Electronics Engineers.

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| Event of Default | has the meaning given to that expression in Section M8.1 (Events of Default). |
| Export MPAN | means an MPAN for a Metering Point relating to the export of electricity from a premises. |
| Export Supplier | means, for a Smart Metering System or a Device and any period of or point in time, the Supplier Party Registered during that period of or at that point in time in respect of the Export MPAN relating to that Smart Metering System or Device (but excluding Smart Metering Systems or Devices for which there is no related Import MPAN, in which circumstance such Registered Supplier Party is deemed to be the Import Supplier in accordance with the definition thereof). |
| Fast-Track Modifications | has the meaning given to that expression in Section D2.8 (Fast-Track Modifications). |
| File Signing Certificate | has the meaning given to that expression in the IKI Certificate Policy. |
| File Signing Software | means software provided by the DCC for the purposes of enabling a Party to apply a Digital Signature to a CSV File. |
| Firmware Hash | means the result of the application of a hash function, such function being a repeatable process to create a fixed size and condensed representation of a message using the SHA-256 algorithm as specified in the US Government's Federal Information Processing Standards document 180-4. |

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| Firmware Information Repository | means a table established and maintained by the Panel that details firmware updates, releases, Manufacturer contact details and other firmware information. |
| Follow-up Security Assessment | has the meaning given to that expression in Section G8.19 (Categories of Security Assurance Assessment). |
| Force Majeure | means, in respect of any Party (the Affected Party), any event or circumstance which is beyond the reasonable control of the Affected Party, but only to the extent such event or circumstance (or its consequences) could not have been prevented or avoided had the Affected Party acted in accordance with Good Industry Practice. Neither lack of funds nor strikes or other industrial disturbances affecting only the employees of the Affected Party and/or its contractors shall be interpreted as an event or circumstance beyond the Affected Party's control. |
| Forum Sub-Group | has the meaning given to that expression in Section Z6.1 (Definitions). |
| Framework Agreement | means an agreement in the form set out in Schedule 1. |
| Full Privacy Assessment | has the meaning given to that expression in Section I2.12 (Categories of Assessment). |
| Full User Security Assessment | has the meaning given to that expression in Section G8.16 (Categories of Security Assurance Assessment). |
| Future-Dated Services | has the meaning given to that expression in Section H3.11 (Categories of Services). |
| Gas Act | means the Gas Act 1986. |
| Gas Meter | means a meter that conforms to the requirements of section 17(1) of the Gas Act for the purpose of |

registering the quantity of gas supplied through pipes to premises.

Gas Network Party

means a Party that holds a Gas Transporter Licence.

Gas Proxy Function

means either a SMETS1 GPF; or a Device installed (or to be installed) at a premises, which:

- (a) consists of the components or other apparatus identified in; and
- (b) as a minimum, has the functional capability specified by and complies with the other requirements of,

a Version of the CHTS (but only those provisions that are described as applying to 'Gas Proxy Functions') which was within its Installation Validity Period on the date on which the device was installed.

Gas Smart Meter

means either a SMETS1 GSME; or a device installed (or to be installed) at a premises, which:

- (a) consists of the components or other apparatus identified in; and
- (b) as a minimum, has the functional capability specified by and complies with the other requirements of,

the part(s) of the SMETS identified as applying to 'Gas Smart Metering Equipment' in a version of the SMETS which was within its Installation Validity Period on the date on which the device was installed.

Gas Supplier

means, for a Smart Metering System or a Device and any period of or point in time, the Supplier Party Registered during that period of or at that point in time in respect of the MPRN relating to that Smart

Metering System or Device.

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| Gas Supplier Party | means a Party that holds a Gas Supply Licence (regardless of whether that Party also holds an Electricity Supply Licence). |
| Gas Supply Licence | means a licence granted, or treated as granted, pursuant to section 7A(1) of the Gas Act. |
| Gas Transporter | means, for a Smart Metering System or a Device, the holder of the Gas Transporter Licence for the network to which the relevant premises are connected. |
| Gas Transporter Licence | means a licence granted, or treated as granted, under section 7 of the Gas Act (but not the licence in respect of the National Transmission System, as defined in the UNC). |
| GB Companion Specification (or “GBCS”) | means the document of that name set out in Schedule 8. |
| GBCS Payload | means the content of a Pre-Command, Signed Pre-Command, Service Response or Device Alert which is set out in the format required by the GB Companion Specification. |
| General Data Protection Regulation | means EU Regulation 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data. |
| General Installation End Date | has the meaning given to that expression in Section A3.13. |

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| General SEC Objectives | has the meaning given to that expression in Section C1 (SEC Objectives). |
| Good Industry Practice | means, in respect of a Party, the exercise of that degree of skill, diligence, prudence and foresight which would reasonably and ordinarily be expected from a skilled and experienced person engaged in a similar type of undertaking as that Party under the same or similar circumstances. |
| Greenhouse Gas Emissions | means emissions of Greenhouse Gases, as defined in section 92 of the Climate Change Act 2008. |
| HAN | means, for each Smart Metering System, the home area network created by the Communications Hub Function forming part of that Smart Metering System. |
| HAN Connected Auxiliary Load Control Switch | <p>means a device installed (or to be installed) at a premises, which:</p> <ul style="list-style-type: none">(a) consists of the components or other apparatus identified in; and(b) as a minimum, has the functional capability specified by and complies with the other requirements of, <p>a Version of the HCALCS Technical Specification which was within its Installation Validity Period on the date on which the device was installed.</p> |
| HAN Requirements | means the requirements with respect to the HAN provided for in the Energy Licences and this Code. |
| HAN Variants | means the variations of SMETS2+ Communications Hub that are necessary to enable communication via each HAN Interface (as defined in the CHTS). |

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| Hash | means the result of the application of a hash function, such function being a repeatable process to create a fixed size and condensed representation of a message using the SHA-256 algorithm as specified in the US Government's Federal Information Processing Standards document 180-4. |
| HCALCS | means a HAN Connected Auxiliary Load Control Switch. |
| HCALCS Technical Specification | means the part(s) of the SMETS identified as applying to 'HAN Connected Auxiliary Load Control Switches'. |
| ICA Certificate | has the meaning given to that expression in the IKI Certificate Policy. |
| ICHIS | means the Intimate Communications Hub Interface Specifications. |
| ID Allocation Procedure | means the document of that name developed and maintained in accordance with Section B2.2 (ID Allocation Procedure). |
| IETF RFC 5280 | has the meaning given to that expression in the GB Companion Specification. |
| IHD | <p>means a device provided (or to be provided) at a premises, which is either a SMETS1 IHD; or:</p> <ul style="list-style-type: none">(a) consists of the components or other apparatus identified in; and(b) as a minimum, has the functional capability specified by and complies with the other requirements of, <p>a Version of the IHD Technical Specification which was within its Installation Validity Period on the date</p> |

on which the device was provided, and which a User acting in the role of Import Supplier or Gas Supplier has joined, or is seeking to join, to an Electricity Smart Meter or Gas Proxy Function (as applicable).

IHD Technical Specification means the part(s) of the SMETS identified as applying to 'IHDs'.

IKI Authority Revocation List (or IKI ARL) has the meaning given to that expression in the IKI Certificate Policy.

IKI Certificate has the meaning given to that expression in the IKI Certificate Policy.

IKI Certificate Policy means the SEC Subsidiary Document of that name set out in Appendix Q.

IKI Certificate Revocation List (or IKI CRL) has the meaning given to that expression in the IKI Certificate Policy.

IKI Certification Practice Statement (or IKI CPS) has the meaning given to that expression in Section L9.20 (the IKI Certification Practice Statement).

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

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

Import MPAN means an MPAN for a Metering Point relating to the import of electricity to a premises.

Import Supplier means, for a Smart Metering System or a Device and any period of or point in time:

- (a) the Supplier Party Registered during that period of or at that point in time in respect of the Import MPAN relating to that Smart Metering

System or Device; or

- (b) where there is no related Import MPAN for that Smart Metering System or Device, the Supplier Party Registered during that period of or at that point in time in respect of the Export MPAN relating to that Smart Metering System or Device.

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| Incident | means an actual or potential interruption to (or reduction in the quality or security of) the Services, as further described in the Incident Management Policy. |
| Incident Category | has the meaning given to that expression in Section H9.1 (Incident Management Policy). |
| Incident Management | means a framework of processes designed to identify, raise, allocate responsibility for, track and close Incidents. |
| Incident Management Log | has the meaning given to that expression in Section H9.3 (Incident Management Log). |
| Incident Management Policy | means the SEC Subsidiary Document of that name set out in Appendix AG. |
| Incident Parties | has the meaning given to that expression in Section H9.1 (Incident Management Policy). |
| Independent Assurance Scheme | has the meaning given to that expression in Part 2.1 of the SMKI Compliance Policy (DCC: Duty to Submit to an Independent Assurance Scheme). |
| Independent Privacy Auditor | has the meaning given to that expression in Section I2.1 (Procurement of the Independent Privacy Auditor). |
| Independent SMKI | has the meaning given to that expression in Part 3.1 of |

Assurance Service Provider the SMKI Compliance Policy (DCC: Duty to Procure Independent Assurance Services).

Independent S1SPKM Assurance Service Provider has the meaning given to that expression in Part [] of the S1SPKM Compliance Policy (DCC: Duty to Procure Independent Assurance Services).

Independent Time Source has the meaning given to that expression in Section G2.46(b) (Network Time).

Information Classification Scheme means a methodology for:

- (a) the appropriate classification of all Data that are processed or stored on a System by reference to the potential impact of those Data being Compromised; and
- (b) determining the controls to be applied to the processing, storage, transfer and deletion of each such class of those Data.

Information Commissioner means the Commissioner as defined in the Data Protection Legislation.

Infrastructure Key Infrastructure (or IKI) means the public key infrastructure established by the DCC for the purpose, among other things, of authenticating communications between:

- (a) Parties and the OCA and DCA; and
- (b) Parties and the DCC, where those Parties are required in accordance with this Code to provide files to the DCC that have been Digitally Signed using the Private Key associated with the Public Key that is contained within a File Signing Certificate.

Insolvency Type Event means, in respect of a Party, that that Party:

- (a) is unable to pay its debts as they fall due, or is deemed to be unable to pay its debts within the meaning of section 123 of the Insolvency Act 1986 (but as if the reference in such section to “£750” was replaced with “£10,000”);
- (b) calls a meeting for the purpose of passing a resolution for its winding-up, or such a resolution is passed;
- (c) presents, or has presented in respect of it, a petition for a winding-up order;
- (d) has an application to appoint an administrator made in respect of it, or a notice of intention to appoint an administrator is filed in respect of it;
- (e) has an administrator, administrative receiver, or receiver appointed over all or a substantial part of its business, undertaking, property or assets;
- (f) takes any steps in connection with proposing a company voluntary arrangement or a company voluntary arrangement is passed in relation to it; or
- (g) suffers or undergoes any procedure analogous to any of those specified above, including in respect of a Party who is a natural person or in any jurisdiction outside the UK in which a Party is incorporated.

Installation End Date

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

Installation Start Date

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

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| Installation Validity Period | has the meaning given to that expression in Section A3.11 (The Installation Validity Period). |
| Instruction | means, in respect of a SMETS1 Device, a communication generated by the SMETS1 Service Provider or a DCO following receipt of a SMETS1 Service Request by the DCC that is designed to instruct the Device to execute the functionality necessary to permit the DCC to take the necessary Equivalent Steps. |
| Intellectual Property Rights | means patents, trade marks, trade names, service marks, rights in designs, copyright (including rights in computer software), logos, rights in internet domain names, and moral rights, database rights, rights in know-how, and other intellectual property rights (in each case, whether registered or unregistered or subject to an application for registration), and includes any and all rights or forms of protection having equivalent or similar effect anywhere in the world. |
| Interface Testing | means the testing described in Section T3 (Interface Testing). |
| Interface Testing Approach Document | has the meaning given to that expression in Section T3.8 (Interface Testing Approach Document). |
| Interface Testing Objective | has the meaning given to that expression in Section T3.2 (Interface Testing Objective). |
| Interim Election | has the meaning given to that expression in Section C4.2 (Election of Elected Members). |
| Intimate Communications Hub Interface | means the specifications described as such and originally developed by the DCC pursuant to schedule 3 of the DCC Licence, as amended from time to time |

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| Specifications | in accordance with Section H12.9 (Amendments to the ICHIS). |
| Inventory Enrolment and Decommissioning Procedures | means the SEC Subsidiary Document of that name set out as Appendix AC. |
| Invoice | has the meaning given to that expression in Section J1.2 (Invoicing of Charges). |
| Issue | <p>in relation to:</p> <ul style="list-style-type: none">(a) a Device Certificate or DCA Certificate, has the meaning given to that expression in Annex A of the Device Certificate Policy;(b) an Organisation Certificate or OCA Certificate, has the meaning given to that expression in Annex A of the Organisation Certificate Policy;(c) an IKI Certificate or ICA Certificate has the meaning given to that expression in the IKI Certificate Policy;(d) a DCKKI Certificate (including any DCKKICA Certificate) has the meaning given to that expression in the DCKKI Certificate Policy. |
| Issuing DCA | has the meaning given to that expression in Annex A of the Device Certificate Policy. |
| Issuing DCA Certificate | has the meaning given to that expression in Annex A of the Device Certificate Policy. |
| Issuing ICA | has the meaning given to that expression in the IKI Certificate Policy. |
| Issuing ICA Certificate | has the meaning given to that expression in the IKI Certificate Policy. |

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| Issuing OCA | has the meaning given to that expression in Annex A of the Organisation Certificate Policy. |
| Issuing OCA Certificate | has the meaning given to that expression in Annex A of the Organisation Certificate Policy. |
| Key Pair | means a Private Key and its mathematically related Public Key, where the Public Key may be used to Check Cryptographic Protection in relation to a communication that has been Digitally Signed using the Private Key. |
| Known Remote Party | has the meaning given to that expression in the GB Companion Specification. |
| Large Supplier Party | means a Supplier Party that is not a Small Supplier Party. |
| Laws and Directives | means any law (including the common law), statute, statutory instrument, regulation, instruction, direction, rule, condition or requirement (in each case) of any Competent Authority (or of any authorisation, licence, consent, permit or approval of any Competent Authority). |
| Lead Supplier | <p>means, in respect of a Communications Hub:</p> <ul style="list-style-type: none">(a) where there is only one Responsible Supplier for the Communications Hub Function which forms part of that Communications Hub, that Responsible Supplier; or(b) where there is more than one Responsible Supplier for the Communications Hub Function which forms part of that Communications Hub, the Import Supplier for the Communications |

Hub Function.

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| Letter of Credit | means an unconditional irrevocable standby letter of credit in substantially the form set out in Schedule 6 from a bank with the Required Bank Rating which letter of credit has not been breached or disclaimed by the provider. |
| Liability | includes any loss, liability, damages, costs (including legal costs), expenses and claims. |
| Local Command Services | means the sending of Commands to a User via the DCC User Interface where the User has opted in the Service Request for the Command to be sent in that way. |
| Maintenance | includes repair, replacement, upgrade or modification. |
| Maintenance End Date | has the meaning given to that expression in Section A3.19(b) (The Maintenance Validity Period). |
| Maintenance Start Date | has the meaning given to that expression in Section A3.19(a) (The Maintenance Validity Period). |
| Maintenance Validity Period | has the meaning given to that expression in Section A3.19 (The Maintenance Validity Period). |
| Major Incident | means an Incident that is categorised as a major incident in accordance with the Service Management Standards, as further described in the Incident Management Policy. |
| Major Security Incident | means, in relation to any System, any event which results, or was capable of resulting, in that System being Compromised to a material extent. |
| Malicious Software | means any software program or code intended to |

destroy, interfere with, corrupt, or cause undesired effects on Data, software, files, programs or codes (whether or not its operation is immediate or delayed, and whether it is introduced wilfully, negligently or without knowledge of its existence).

Manufacturer

means, in respect of any Device Model, the person:

- (a) that manufactures some or all of the Devices of that Device Model; or
- (b) on whose behalf some or all of those Devices are manufactured for onward sale or other provision.

Manufacturer Image

has the meaning given to that expression in the GB Companion Specification.

MA-S Registry Entry

means a publicly registered 36-bit identifier of that name issued by the Institute of Electrical and Electronics Engineers Standards Association.

Material Risk

means, in respect of any Maintenance of the DCC Systems, that such Maintenance poses either: (a) a material risk of disruption; or (b) a risk of material disruption.

Maximum Credit Value

has the meaning given to that expression in Section J3.3B (Party's Maximum Credit Value).

Mesh Communications Hub

has the meaning given to that expression in the CH Support Materials.

Message

has the meaning given to that expression in the GB Companion Specification.

Message Authentication Code

has the meaning given to that expression in the GB Companion Specification (or, where used in the context of a communication not specified by the GB

Companion Specification, the meaning associated with the relevant cryptographic algorithm used to generate it).

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| Message Code | has the meaning given to that expression in the SMETS1 Supporting Requirements. |
| Message Mapping Catalogue | means the SEC Subsidiary Document of that name set out in Appendix AF. |
| Meter Asset Manager | has the meaning given to that expression in the SPAA. |
| Meter Operator | has the meaning given to that expression in the MRA. |
| Metering Point | has the meaning given to that expression in the MRA. |
| Minimum Monthly Charge | means, in respect of each Regulatory Year, £25.00, multiplied by the Consumer Prices Index for the October preceding the start of that Regulatory Year, divided by the Consumer Prices Index for October 2014. The relevant amount will be rounded to the nearest pound. |
| Minimum Service Level | <p>means, in respect of each Performance Measure, the number or percentage intended to represent the minimum level of performance for the activity which is the subject of the Performance Measure, as set out in:</p> <ul style="list-style-type: none"> (a) Section D11.3 (Code Performance Measures); (b) Section H13.1 (Code Performance Measures); (c) the Reported List of Service Provider Performance Measures; or (d) Section L8.6 (Code Performance Measures). |
| 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).

Modification Register has the meaning given to that expression in Section D1.8 (Modification Register).

Modification Report has the meaning given to that expression in Section D7.1 (Modification Report).

Modification Report Consultation has the meaning given to that expression in Section D7.8 (Modification Report Consultation).

Monthly Service Metric has the meaning set out in the DCC User Interface Services Schedule.

Monthly Service Threshold has the meaning set out in the DCC User Interface Services Schedule.

MPAN means, in respect of a Smart Metering System (or Electricity Meter), the Supply Number (or each of the Supply Numbers) allocated under the MRA to the Metering Point(s) at which the import or export of electricity is recorded by that Smart Metering System (or Electricity Meter).

MPRN means, in respect of a Smart Metering System (or Gas Meter), the Supply Meter Point Reference Number allocated by the relevant Gas Network Party to the Supply Meter Point at which the supply of gas is recorded by that Smart Metering System (or Gas Meter).

MRA means the Master Registration Agreement established pursuant to the Electricity Distribution Licences.

NCSC means the UK Government's National Cyber Security

Centre (or any successor organisation).

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| Network Enhancement Plan | means a plan by the DCC to undertake works to improve SMETS2+ SM WAN connectivity for a cohort of Communications Hubs installed within a particular geographic area (in either the south Region or the central Region), where the DCC has obtained reasonable evidence to justify that the works are required in order to improve SM WAN connectivity. |
| Network Party | means a Party that is either an Electricity Network Party or a Gas Network Party. |
| Network Time | has the meaning given to that expression in Section G2.45(a) (Network Time). |
| Never | means a date-time used to denote the timing of an action that must never happen. For Service Requests, in accordance with DUIS, this date-time shall be 00:00:00 on 31st December 3000. |
| New Party | means a Party that is a Party pursuant to an Accession Agreement. |
| Non-Critical Service Request | means a Service Request which is not identified as critical in the DCC User Interface Services Schedule (or, in the case of Elective Communication Services, the relevant Bilateral Agreement). |
| Non-Critical Service Response | means a Service Response in respect of a Non-Critical Service Request. |
| Non-Default Interest Rate | means, for any day, the base lending rate of the Bank of England at 13.00 hours on that day. |
| Non-Device Service Request | means a Service Request in respect of a Service identified as a non-device service in the DCC User |

Interface Services Schedule (or, in the case of Elective Communication Services, the relevant Bilateral Agreement).

Non-Domestic Premises

means premises other than Domestic Premises.

Notification

means, in respect of a Modification Proposal, notification of that modification to the EU Commission pursuant to EU Directive 2015/1535/EU.

OCA Certificate

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

On-Demand Services

has the meaning given to that expression in Section H3.11 (Categories of Services).

OPR Exceptional Event

means Force Majeure for which the DCC is the Affected Party and which occurs in relation to the matters which are subject to OPR Reporting.

OPR Reporting

means reporting in respect of the operational performance regime under schedule 4 of the DCC Licence (the Operational Performance Regime).

**Organisation Authority
Revocation List (or
Organisation ARL)**

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

Organisation Certificate

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

**Organisation Certificate
Policy**

means the SEC Subsidiary Document of that name set out in Appendix B.

**Organisation Certificate
Revocation List (or
Organisation CRL)**

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

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| Organisation Certification Authority (or OCA) | has the meaning given to that expression in Annex A of the Organisation Certificate Policy. |
| Organisation Certification Practice Statement (or Organisation CPS) | has the meaning given to that expression in Section L9.14 (the Organisation Certification Practice Statement). |
| Original Party | means a Party that is a Party pursuant to the Framework Agreement. |
| OTA Header | has the meaning given to that expression in the GB Companion Specification. |
| Other Enabling Services | means the Services other than the Enrolment Services, the Communications Hub Services and the Communication Services. |
| Other SEC Party | means a Party that is not the DCC, is not a Network Party, and is not a Supplier Party. |
| Other User | means, for a Smart Metering System or a Device and any period of or point in time, a User that is not acting in the User Role of Import Supplier, Export Supplier, Gas Supplier, Electricity Distributor, Gas Transporter or Registered Supplier Agent (regardless of whether in fact that User is a Responsible Supplier or the Electricity Distributor or the Gas Transporter or the Registered Supplier Agent during that period of or at that point in time). |
| Panel | means the body established as such in accordance with Section C2.1 (Establishment of the Panel). |
| Panel Chair | has the meaning given to that expression in Section C3.1 (Composition of the Panel). |

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| Panel Member | has the meaning given to that expression in Section C3.1 (Composition of the Panel). |
| Panel Objectives | has the meaning given to that expression in Section C2.2 (Panel Objectives). |
| Parent Company Guarantee | means a guarantee in such form as the DCC may reasonably approve from an Affiliate of the User in question which guarantee has not been breached or disclaimed by the guarantor and has at least one month left until it expires. Where the guarantor is incorporated outside of the United Kingdom, the guarantee will only be validly given where supported by a legal opinion regarding capacity and enforceability in a form reasonably satisfactory to the DCC. |
| Parse and Correlate Software | has the meaning given to that expression in Section H11.1 (Provision of Parse and Correlate Software). |
| Parse and Correlate Applicability Matrix | has the meaning given to that expression in Section A3.38 (The Parse and Correlate Applicability Matrix). |
| Party | means, from time to time, a person that has agreed to be bound by this Code (either pursuant to the Framework Agreement or an Accession Agreement), and (without prejudice to Section M8.14 (Consequences of Ceasing to be a Party)) that has not at that time ceased to be so bound in accordance with Section M8 (but excluding SECCo). |
| 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.

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| Party Data | has the meaning given to that expression in Section M5.10 (Party Data). |
| Party Details | means, in respect of each Party, the information relating to that Party and corresponding to the heads of information set out in the Application Form from time to time. |
| Party Signifier | means an identification number allocated to a Party (or SECCo) by the Code Administrator pursuant to Section B1.17 (Party Signifiers), which uniquely identifies that Party (or SECCo) under the Code. |
| Path 1 Modification | has the same meaning as "Authority-initiated Modification". |
| Path 2 Modification | has the same meaning as "Authority Determined Modification". |
| Path 3 Modification | has the same meaning as "Self-Governance Modification". |
| Performance Measurement Methodology | means a documented methodology for establishing the performance against each Performance Measure, which may include sampling and/or test communications. |
| Performance Measurement Period | means, in respect of each Performance Measure, the applicable period over which the Service Level for that Performance Measure is to be measured, as set out in: |

- (a) Section D11.3 (Code Performance Measures);
- (b) Section H13.1 (Code Performance Measures);
- (c) the Reported List of Service Provider Performance Measures; or
- (d) Section L8.6 (Code Performance Measures).

Performance Measures

means the Code Performance Measures and such Service Provider Performance Measures as are specified in the Reported List of Service Provider Performance Measures.

Permitted Communication Service

means, in respect of a User and a Smart Metering System (or a Device forming, or to form, part of that Smart Metering System):

- (a) a service that results in the sending of a Command to a Device (other than the Communications Hub Function) for which the User is the Responsible Supplier (except where, were the Command to be sent as a Core Communication Service, it would be a Critical Command requiring another User's Digital Signature);
- (b) a service that only results in the sending of a Command to a Device which is the same as a Command which results from a Service listed in the DCC User Interface Services Schedule for which that User is an Eligible User; or
- (c) a service which the Panel has (on the application of the User) approved as a permitted communication service.

Personal Data

has the meaning given to that expression in the Data

Protection Legislation.

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| Personnel Authentication Certificate | has the meaning given to that expression in Annex A of the DCC KI Certificate Policy. |
| Personnel Authentication Certificate Application | has the meaning given to that expression in Annex A of the DCC KI Certificate Policy. |
| Physical Device Type | means, in respect of a device, its type which may be only one of: a Communications Hub; a SMETS1 ESME; a Single Element Electricity Metering Equipment (as defined in SMETS); a Twin Element Electricity Metering Equipment (as defined in SMETS); a Polyphase Electricity Metering Equipment (as defined in SMETS), a Gas Smart Meter; a Pre-Payment Meter Interface Device; a HAN Connected Auxiliary Load Control Switch; an IHD; or a Type 2 Device (Other). |
| Planned Maintenance | means, in respect of a month, Maintenance of the DCC Systems planned prior to the start of that month and which will disrupt, or poses a Material Risk of disruption to, provision of the Services (and, where it will disrupt, or poses a Material Risk of disruption to, the provision of the Services in relation to Devices associated with Communications Hubs, at least 100,000 Communications Hubs are affected). |
| Point-to-Point Alt HAN Equipment | has the meaning given to that expression in accordance with standard condition 55 of the Electricity Supply Licence (Smart Metering – The Alt HAN Arrangements) and standard condition 49 of the Gas Supply Licence (Smart Metering – The Alt HAN Arrangements). |
| Post Commissioning | has the meaning given to that expression in the |

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| Information | Inventory Enrolment and Decommissioning Procedures. |
| PPMID | means a Prepayment Meter Interface Device. |
| PPMID Technical Specification | means the part(s) of the SMETS identified as applying to 'Pre-Payment Meter Interface Devices'. |
| Pre-Command | means a communication (other than a Service Response, DCC Alert or Device Alert) to be sent from the DCC to a User or to the CoS Party that includes a GBCS Payload and which has been Digitally Signed by the DCC in accordance with the DCC User Interface Specification. |
| Preliminary Assessment | has the meaning given to that expression in Section H7.4 (Preliminary Assessment of Elective Communication Services). |
| Pre-Payment Meter Interface Device | <p>means either a SMETS1 PPMID; or a device installed (or to be installed) at a premises, which:</p> <ul style="list-style-type: none"> (a) consists of the components or other apparatus identified in; and (b) as a minimum, has the functional capability specified by and complies with the other requirements of, <p>a Version of the PPMID Technical Specification which was within its Installation Validity Period on the date on which the device was installed.</p> |
| Principal User Security Obligations | has the meaning given to that expression in Section G1.7 (Obligations on Users). |
| Principal Version | in relation to: |

- (a) a Technical Specification, has the meaning given to that expression in Section A3.5(a) (Versions of the Technical Specifications); and
- (b) the GBCS or CPA Security Characteristics, has the equivalent meaning, in accordance with and subject to the provisions of Section A3.26 (GB Companion Specification and CPA Security Characteristics).

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| Privacy Assessment | means a Full Privacy Assessment, Random Sample Privacy Assessment or User Privacy Self-Assessment. |
| Privacy Assessment Report | has the meaning given to that expression in Section I2.19 (The Privacy Assessment Report). |
| Privacy Assessment Response | has the meaning given to that expression in Section I2.21 (The Privacy Assessment Response). |
| Privacy Controls Framework | means the document of that name developed and maintained by the Panel in accordance with Section I2.15 (The Privacy Controls Framework). |
| Privacy Self-Assessment | has the meaning given to that expression in Section I2.14 (Categories of Assessment). |
| Privacy Self-Assessment Report | has the meaning given to that expression in Section I2.26 (The User Privacy Self-Assessment Report). |
| Private Key | means the private part of an asymmetric Key Pair used for the purposes of public key encryption techniques |
| Privileged Person | means a member of DCC Personnel who is authorised to carry out activities which involve access to resources, or Data held, on the DCC Total System and which are capable of being a means by which the DCC Total System, any User Systems, any RDP Systems or |

any Device are Compromised to a material extent.

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| Problem | means the underlying cause of one or more Incidents, as further described in the Incident Management Policy. |
| Processing | has the meaning given to that expression in the Data Protection Legislation (and “ Process ” and “ Processes ” shall be interpreted accordingly). |
| Product Recall or Technology Refresh | has the meaning given to that expression in Section F9.6 (Categories of Responsibility). |
| Production Proving | means the activities which the DCC is permitted to undertake by Section P (Production Proving). |
| Production Proving Devices | has the meaning given to that expression in Section P1.4 (Production Proving Devices). |
| Production Proving Function | means the DCC when undertaking Production Proving, and specifically those activities expressly stated in this Code to be undertaken by the Production Proving Function. |
| Production Proving MPXNs | has the meaning given to that expression in Section P1.8 (Production Proving MPXNs). |
| Production Proving Registration Data | has the meaning given to that expression in Section P1.11 (Production Proving Registration Data). |
| Production Proving Systems | means the Systems used by the DCC in its capacity as the Production Proving Function. |
| Proposed Solution | means the variation under a Modification Proposal that is proposed and can be subsequently changed by the Proposer in accordance with Section D6.15 |

(Alternative Solutions).

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| Proposer | has the meaning given to that expression in Section D1.3 (Persons Entitled to Submit Draft Proposals). |
| Prototype Communications Hub | means a device that as closely achieves compliance with the CHTS as is reasonably practicable from time to time, which is provided (or to be provided) for the purpose of testing as described in Section F10 (Test Communications Hubs). |
| Public Key | means the public part of an asymmetric Key Pair used for the purposes of public key encryption techniques. |
| Random Sample Privacy Assessment | has the meaning given to that expression in Section I2.13 (Categories of Assessment). |
| RDP | means Registration Data Provider. |
| RDP Entry Process Tests | has the meaning given to that expression in Section E4.2 (RDP Entry Process Tests). |
| RDP ID | means, in respect of an RDP acting in its capacity as such (including a Network Party where it is deemed to have nominated itself for that role), one of the unique identification numbers accepted by the DCC in respect of that RDP under Section E2.16 (Security Obligations and RDP IDs). |
| RDP Signifier | means an identification number allocated to an RDP by the Code Administrator pursuant to Section B1.19 (RDP Signifiers), which uniquely identifies that RDP under the Code. |
| 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 purposes of, its provision to the DCC over the Registration Data Interface;

(ii) generating Data for communication to the OCA, ICA or DCCKICA, or receiving Data from the OCA, ICA or DCCKICA (including any Systems which store or use Secret Key Material for such purposes),

and any other Systems from which the Systems described in paragraphs (a) and (b) are not Separated.

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| Recoverable Costs | has the meaning given to that expression in Section C8.2 (SEC Costs and Expenses). |
| Recovery Certificate | has the meaning given to that expression in Section L10.30(d)(ii) (Definitions). |
| Recovery Costs | has the meaning given to that expression in Section L10.17 (Recovery Costs). |
| Recovery Event | has the meaning given to that expression in Section L10.14 (Recovery Events). |
| Recovery Key Pair | has the meaning given to that expression in Section L10.30(d) (Definitions). |
| Recovery Private Key | has the meaning given to that expression in Section |

L10.30(d)(i) (Definitions).

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| Refinement Process | has the meaning given to that expression in Section D6 (Refinement Process). |
| Region | <p>means each of the regions of Great Britain that are subject to different DCC Service Provider Contracts, and the region into which a premises (or future potential premises) falls shall be:</p> <p>(a) identified insofar as reasonably practicable in a document published by the DCC (or the Panel on behalf of the DCC) from time to time; or</p> <p>(b) where a premises (or future potential premises) is not so identified, confirmed by the DCC on application of any Party or in response to the resolution of an Incident regarding the fact that a premises (or future potential premises) is not so identified,</p> <p>and once a premises has been identified by the DCC as being in a particular region, the DCC shall not identify that premises as being in a different region (unless agreed by the Supplier Party or Supplier Parties Registered for the MPAN and/or MPRN at the premises and the Network Party or Network Parties for the network(s) to which the premises is, or is intended to be, connected).</p> |
| Registered | means Registered, as defined in the MRA or the SPAA, as applicable (and “ Registration ” shall be interpreted accordingly). |
| Registered Supplier Agent | means, for a Smart Metering System or a Device and any period of or point in time, the User that is: |

- (a) in the case of electricity, appointed as the Meter Operator in respect of the MPAN relating to that Smart Metering System or Device; or
- (b) in the case of gas, appointed as the Meter Asset Manager in respect of the MPRN relating to that Smart Metering System or Device,

(in either case) during that period of or at that point in time.

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| Registration Authority | means the DCC, acting in its capacity as such for the purposes of (and in accordance with the meaning given to that expression in any) the Certificate Policies. |
| Registration Data | has the meaning given to that expression in Section E1 (Reliance on Registration Data). |
| Registration Data Interface | means the communications interface designed to allow the communications referred to in Section E (Registration Data) to be sent between the DCC and the Registration Data Providers. |
| Registration Data Interface Code of Connection | means the SEC Subsidiary Document of that name set out in Appendix Y. |
| Registration Data Interface Documents | means the Registration Data Interface Code of Connection and Registration Data Interface Specification. |
| Registration Data Interface Specification | means the SEC Subsidiary Document of that name set out in Appendix X. |
| Registration Data Provider | means, in respect of each Network Party, the person nominated as such in writing to the DCC from time to time by that Network Party, on the basis that more |

than one Party may specify the same Registration Data Provider, and that the Network Party shall be deemed to have so nominated itself in the absence of any other nomination.

Regulatory Year

means a period of twelve months beginning at the start of 1 April in any calendar year and ending at the end of 31 March in the next following calendar year.

Related Person

means, in relation to an individual, that individual's 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 member of his immediate family) controls more than 20% of the voting rights.

Release Management

means the process adopted for planning, scheduling and controlling the build, test and deployment of releases of IT updates, procedures and processes.

Relevant Device

has the meaning given to that expression in Section L10.30(a) (Definitions).

Relevant Instruments

means:

- (a) the Electricity Act and the Gas Act;
- (b) the Data Protection Legislation;
- (c) the Energy Licences; and
- (d) the Energy Codes.

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| Relevant Private Key | has the meaning given to that expression in Section L10.30(c) (Definitions). |
| Relevant Subscriber | has the meaning given to that expression in Section L10.30(b). |
| Relying Party | means a person who, pursuant to the Code, receives and relies upon a Certificate. |
| Relying Party Obligations | means the provisions in respect of Relying Parties set out at Section L12 of the Code (the Relying Party Obligations). |
| Remote Party | has the meaning given to that expression in GBCS. |
| Remote Party Role | has the meaning given to that expression, and comprises the values allowed for the ASN.1 type RemotePartyRole identified, in the GB Companion Specification, and additionally comprises the values set out in Table 1 in Annex A to Section L (Smart Metering Key Infrastructure and DCC Key Infrastructure). |
| Remote Party Role Code | means the integer value for the Remote Party Role specified in the GB Companion Specification or Table 1 in Annex A to Section L (Smart Metering Key Infrastructure and DCC Key Infrastructure), as applicable. |
| Replay | has the meaning given to that expression in the SMETS1 Supporting Requirements. |
| Report Phase | has the meaning given to that expression in Section D7.1 (Modification Report). |
| Reported List of Service Provider Performance | means the document which: |

Measures

- (a) is initially provided to Parties, the Panel and the Authority by the Secretary of State, bears the title 'Reported List of Service Provider Performance Measures' and identifies itself as being produced for the purposes of Section H13 (Performance Standards and Reporting); and
- (b) specifies a number of Service Provider Performance Measures together (in each case) with the applicable Service Level Requirement, Target Service Level, Minimum Service Level and Performance Measurement Period,

as it may be modified from time to time in accordance with Section H13.2 (Service Provider Performance Measures).

Required Bank Rating

means that a person has one or more long-term Recognised Credit Ratings of at least (based, where the person has more than one such rating, on the lower of the ratings):

- (a) “A-” by Standard & Poor’s Financial Services LLC;
- (b) “A3” by Moody’s Investors Services Inc; and/or
- (c) “A-” by Fitch Ratings Limited; and/or
- (d) “A(low)” by DBRS Ratings Limited.

Response

for SMETS2+ Devices, has the meaning given to that expression in the GB Companion Specification; and otherwise, it shall mean a Service Response or a Pre-Command as the context implies.

Responsible Supplier

means, in respect of a Smart Metering System (or any Device forming, or intended to form, part of a Smart

Metering System) which relates to:

- (a) an MPAN, the Import Supplier for that Smart Metering System; and/or
- (b) an MPRN, the Gas Supplier for that Smart Metering System.

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| Restricted Communication Service | means, in respect of any User requesting an Elective Communication Service, a service which is not a Permitted Communication Service. |
| Risk Treatment Plan | has the meaning given to that expression in Section G7.19(e) (Duties and Powers of the Security Sub-Committee). |
| Root DCA | has the meaning given to that expression in Annex A of the Device Certificate Policy. |
| Root DCA Certificate | has the meaning given to that expression in Annex A of the Device Certificate Policy. |
| Root DCCKICA Certificate | has the meaning given to that expression in the DCCKI Certificate Policy |
| Root ICA | has the meaning given to that expression in the IKI Certificate Policy. |
| Root ICA Certificate | has the meaning given to that expression in the IKI Certificate Policy. |
| Root OCA | has the meaning given to that expression in Annex A of the Organisation Certificate Policy. |
| Root OCA Certificate | has the meaning given to that expression in Annex A of the Organisation Certificate Policy. |
| Scheduled Election | has the meaning given to that expression in Section |

C4.2 (Election of the Elected Members).

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| Scheduled Services | has the meaning given to that expression in Section H3.11 (Categories of Services). |
| SEC Arrangements | has the meaning given to that expression in the DCC Licence. |
| SEC Materials | has the meaning given to that expression in Section M5.1 (SEC Materials). |
| SEC Objectives | means, in respect of the Charging Methodology only, the Charging Objectives and, in all other cases, the General SEC Objectives. |
| SEC Release | means a package of one or more approved Modification Proposals which is implemented in accordance with the SEC Release Management Policy. |
| SEC Release Implementation Document | means a document established under Section D10.12 (SEC Release Implementation Document) and which contains the information listed in Section D10.13. |
| SEC Release Management Policy | means the document established under Section D10.7 (SEC Release Management Policy) and which contains the information listed in Section D10.8. |
| SEC Release Testing Approach Document | means a document established under Section D10.18 (SEC Release Testing Approach Document) and which contains the information listed in Section D10.19 in relation to the testing to be undertaken by the DCC with regards to a SEC Release. |
| SEC Variation Testing Approach Documents | means the SEC Subsidiary Documents set out in Appendix AJ and Appendix AK. |
| SECCo | has the meaning given to that expression in Schedule 4. |

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| Secret Key Material | <p>means any Private Key, Shared Secret, Symmetric Key or other functionally equivalent cryptographic material (and any associated input parameter) that is generated and maintained by a Party or RDP for the purposes of complying with its obligations under, or in relation to, this Code, but excluding:</p> <ul style="list-style-type: none">(a) any such material (and associated input parameters) to the extent that it is maintained on Devices;(b) any Digital Signature; and(c) any output of a Cryptographic Hash Function operating on an input communication. |
| Secretariat | <p>has the meaning given to that expression in Section C7.6 (Secretariat).</p> |
| Secretary of State | <p>has the meaning given to that expression in the Interpretation Act 1978.</p> |
| Secure | <p>has the meaning given to that expression in Section G3.28(a) (SMETS1 Smart Metering Systems).</p> |
| Security Check | <p>means the vetting of personnel, carried out to a level that is identified by that name, under and in accordance with the HMG National Security Vetting Procedures.</p> |
| Security Controls Framework | <p>has the meaning given to that expression in Section G7.19(a) (Duties and Powers of the Security Sub-Committee).</p> |
| Security Obligations and Assurance Arrangements | <p>means:</p> <ul style="list-style-type: none">(a) in the case of the DCC Total System, those requirements set out in Sections G2, G4 to G7 |

and G9;

- (b) in the case of User Systems, those requirements set out in Sections G3 to G8;
- (c) in the case of Smart Metering Systems comprising SMETS2+ Devices, those requirements set out in:
 - (i) the Commercial Product Assurance Security Characteristics (as defined in the GB Companion Specification); and
 - (ii) the provisions of Sections G3 (System Security: Obligations on Users) to G8 (User Security Assurance) which are applicable to such Smart Metering Systems;
- (d) in the case of SMETS1 Smart Metering Systems:
 - (i) those security requirements set out in the relevant Version of the SMETS; and
 - (ii) those requirements set out in the provisions of Sections G3 to G8 which are applicable to such Smart Metering Systems; and
- (e) in the case of RDP Systems, those requirements set out in Section E2.14 (Security Obligations).

Security Requirements

means a document that:

- (a) identifies the security controls that are considered appropriate to mitigate the security risks relating to the End-to-End Smart Metering System; and
- (b) indicates those provisions having effect (or being

proposed to have effect) in or under the Security Obligations and Assurance Arrangements or any Energy Licences which require that such security controls are established and maintained.

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| Security Risk Assessment | means a document that identifies, analyses and evaluates the security risks which relate to the End-to-End Smart Metering System. |
| Security Sub-Committee | means the Sub-Committee established pursuant to Section G7 (Security Sub-Committee). |
| Security Sub-Committee (Network) Members | has the meaning given to that expression in Section G7.8 (Membership of the Security Sub-Committee). |
| Security Sub-Committee (Other User) Member | has the meaning given to that expression in Section G7.10 (Membership of the Security Sub-Committee) |
| Security Sub-Committee (Shared Resource Provider Member) | has the meaning given to that expression in Section G7.12 (Membership of the Security Sub-Committee) |
| Security Sub-Committee (Supplier) Members | has the meaning given to that expression in Section G7.6 (Membership of the Security Sub-Committee). |
| Security Sub-Committee Chair | has the meaning given to that expression in Section G7.5 (Membership of the Security Sub-Committee). |
| Security Sub-Committee Member | has the meaning given to that expression in Section G7.3 (Membership of the Security Sub-Committee). |
| Self-Governance Modification | has the meaning given to that expression in Section D2.7 (Self-Governance Modifications). |
| Self-Service Interface | has the meaning given to that expression in Section H8.15 (Self-Service Interface). |

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| Self-Service Interface Code of Connection | means the SEC Subsidiary Document of that name set out in Appendix AI. |
| Self-Service Interface Access Control Specification | means the SEC Subsidiary Document of that name set out in Appendix AH. |
| Separate | means, in relation to any System, software or firmware, to establish controls which are appropriately designed to ensure that no communication may take place between it and any other System, software or firmware (as the case may be) except to the extent that such communication is for a necessary purpose having regard to the intended operation of the System, software or firmware (and " Separated " and " Separation " are to be interpreted accordingly). |
| Sequenced Services | has the meaning given to that expression in Section H3.13 (Sequenced Services). |
| Service Desk | has the meaning given to that expression in Section H8.19 (Service Desk). |
| Service Level | <p>means, in respect of each Performance Measure and each Performance Measurement Period:</p> <p>(a) where that Performance Measure relates to an activity that is performed on a number of separate occasions:</p> <p>(i) the number of occasions during the Performance Measurement Period on which that activity was performed in accordance with the relevant Service Level Requirement,</p> <p>expressed as a percentage of, or a</p> |

number in relation to:

- (ii) the total number of occasions during the Performance Measurement Period on which that activity was performed;
- (b) where that Performance Measure relates to an activity that is performed over a period of time:
 - (i) the period of time during the Performance Measurement Period on which that activity was performed,expressed as a percentage of:
 - (ii) the period of time during the Performance Measurement Period on which that activity would have been performed if it had been performed in accordance with the relevant Service Level Requirement,

provided that in each case the DCC may establish the Service Level for a Performance Measure in accordance with the Performance Measurement Methodology.

Service Level Requirements means:

- (a) in respect of each Code Performance Measure, the Target Response Time, Target Resolution Time or Target Availability Time (applicable in accordance with the table at Section D11.3 (Code Performance Measures), at Section H13.1 (Code Performance Measures) or at Section L8.6 (Code Performance Measures)); or
- (b) in respect of each Service Provider Performance Measure, the standard to which the relevant DCC

Service Provider is obliged by its DCC Service Provider Contract to perform the activity that is the subject of the Service Provider Performance Measure.

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| Service Management Service Request | means a query raised by a Party via the Self-Service Interface and/or the Service Desk. |
| Service Management Standards | means the Information Technology Infrastructure Library (ITIL®) standards for IT services management, as issued and updated by the Cabinet Office from time to time. |
| Service Provider Performance Measures | means the performance measures (however described and from time to time) for each DCC Service Provider under each DCC Service Provider Contract. |
| Service Reference Variant | means a reference assigned to a Service Request in accordance with the DCC User Interface Specification. |
| Service Request | means a request for one of the Services listed in the DCC User Interface Services Schedule (or, in the case of Elective Communication Services, provided for in the relevant Bilateral Agreement). |
| Service Request Processing Document | means the SEC Subsidiary Document of that name set out in Appendix AB. |
| Service Response | means, in respect of a Service Request sent by a User, one or more communications in response to that Service Request from the DCC to the User (not being a Pre-Command). |
| Services | means the services provided, or to be provided, by the DCC pursuant to Sections F5 (Communications Hub Forecasts and Orders) to F10 (Test Communications |

Hubs), Section H (DCC Services), Section L (Smart Metering Key Infrastructure and DCC Key Infrastructure) or Section N6 (Transition and Migration Approach Document), including pursuant to Bilateral Agreements.

Services FM

means, in respect of any Services, the occurrence of any of the following:

- (a) war, civil war, riot, civil commotion or armed conflict;
- (b) terrorism (being the use or threat of action designed to influence the government or intimidate the public or for the purpose of advancing a political, religious or ideological cause and which involves serious violence against a person or serious damage to property, endangers a person's life, creates a serious risk to the public or is designed to seriously interfere with or disrupt an electronic system);
- (c) nuclear, chemical or biological contamination;
- (d) earthquakes, fire, storm damage or severe flooding (if in each case it affects a significant geographical area); and/or
- (e) any blockade or embargo (if in each case it affects a significant geographical area).

Services IPR

has the meaning given to that expression in Section M5.14 (Services IPR).

Shared Resource Provider

has the meaning given to that expression in Section G10.2 (Meaning of Shared Resources).

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| Shared Resource User | has the meaning given to that expression in Section G10.7 (Additional Obligations following User Security Assessments). |
| Shared Resources | has the meaning given to that expression in Section G10.1 (Meaning of Shared Resources). |
| Shared Secret | means a parameter that is (or may be) derived from a Private Key and a Public Key which are not from the same Key Pair in accordance with the GB Companion Specification. |
| Shared Solution Alt HAN Equipment | has the meaning given to that expression in accordance with standard condition 55 of the Electricity Supply Licence (Smart Metering – The Alt HAN Arrangements) and standard condition 49 of the Gas Supply Licence (Smart Metering – The Alt HAN Arrangements). |
| Signed Pre-Command | means a communication containing the Digitally Signed GBCS Payload of a Pre-Command that has been Digitally Signed by a User or the CoS Party. |
| Significant Code Review | <p>means a review of one or more matters by the Authority which the Authority considers is:</p> <ul style="list-style-type: none">(a) related to this Code (whether on its own or together with other Energy Codes); and(b) likely to be of significance in relation to the Authority's principal objective and/or general duties (as set out in section 3A of the Electricity Act and section 4AA of the Gas Act), statutory functions and/or relevant obligations arising under EU law, <p>and concerning which the Authority has issued a</p> |

notice that the review will constitute a significant code review.

**Significant Code Review
Phase**

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

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

SIMCH Aerial

means an aerial and any other equipment required to enable a Special Installation Mesh Communications

Hub to connect to the SMETS2+ SM WAN.

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| SIT Approach Document | has the meaning given to that expression in Section T2.5 (SIT Approach Document). |
| SIT Objective | has the meaning given to that expression in Section T2.2 (SIT Objective). |
| SM WAN | means the SMETS1 SM WAN or the SMETS2+ SM WAN. |
| SM WAN Coverage Database | means the information made available via the Self-Service Interface pursuant to Section H8.16(f) (and which is also available via the CH Ordering System). |
| Small Supplier Party | means a Supplier Party which, at the time at which it is necessary to assess the status of the Party, supplies electricity and/or gas to fewer than 250,000 (two hundred and fifty thousand) Domestic Premises. |
| Smart Card Token | has the meaning given to that expression in Annex A of the DCCKI Certificate Policy. |
| Smart Meter | means either an Electricity Smart Meter or a Gas Smart Meter (as the context requires). |
| Smart Metering Equipment Technical Specifications | means the document(s) set out in Schedule 9. |
| Smart Metering Equipment Technical Specifications 1 | means the document(s) set out in Schedule 9 with a Principal Version number of 1. |
| Smart Metering Inventory | means an electronic database of Devices which records (as a minimum) the following information in respect of each Device: <ul style="list-style-type: none"> (a) its Device Type; |

- (b) its Device ID;
- (c) its Device Model (provided that no firmware version is needed for Type 2 Devices);
- (d) for Devices other than Type 2 Devices, its SMI Status, and the date from which that status has applied;
- (e) for Devices other than Type 2 Devices, its SMI Status history;
- (f) where it is a Smart Meter which has been installed, the related MPAN or MPRN and the Communications Hub Function with which that Smart Meter is associated; and
- (g) where it is a Device (other than a Smart Meter or a Communications Hub Function), the Smart Meter or Gas Proxy Function with which that Device is associated.

Smart Metering Key Infrastructure (or SMKI)

means the public key infrastructure established by DCC for the purpose, among other things, of providing secure communications between Devices and Users.

Smart Metering System

means either:

- (a) an Electricity Smart Meter together with the Communications Hub Function with which it is Associated, together with the Type 1 Devices (if any) that may from time to time be Associated with that Electricity Smart Meter; or
- (b) a Gas Smart Meter together with the Communications Hub Function with which it is Associated and an Associated Gas Proxy Function, together with the Type 1 Devices (if any) that may from time to time be Associated

with that Gas Proxy Function.

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| SMETS | means the Smart Metering Equipment Technical Specifications. |
| SMETS1 | means the Smart Metering Equipment Technical Specifications 1. |
| SMETS1 Alert | has the meaning given to that expression in the DCC User Interface Specification. |
| SMETS1 CH | means a physical device comprising a SMETS1 CHF and a SMETS1 GPF. |
| SMETS1 CHF | means that part of a SMETS1 ESMS or SMETS1 GSMS which incorporates the wide area network interface and controls which Devices can communicate via the associated home area network interface. |
| SMETS1 Critical Service Request | means a Critical Service Request which is targeted at a SMETS1 Device and is a SMETS1 Service Request. |
| <u>SMETS1 Cryptographic Key Management Policy</u> | <u>means a SEC Subsidiary Document of that name set out in Appendix [], which is originally to be developed pursuant to Section L14.7 (The SMETS1 Cryptographic Key Management Policy: Document Development) and Section L14.8 (Document Development: Process).</u> |
| SMETS1 Device | means one of the following: (a) a SMETS1 ESME; (b) a SMETS1 GSME; (c) a SMETS1 CHF; (d) a SMETS1 GPF; (e) a SMETS1 PPMID; (f) a SMETS1 IHD; and (g) any other device operating on a home area network created by a SMETS1 CHF. |
| SMETS1 Device Model | means the Device Model of a Device which complies |

with the requirements of SMETS1 (or which, in combination with other Devices, complies with the requirements of SMETS1).

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| SMETS1 Eligible Product Combinations | has the meaning given to that expression in Section F2.10A (SMETS1 Lists). |
| SMETS1 ESME | means that part of a SMETS1 ESMS that is not a SMETS1 CH. |
| SMETS1 ESMS | has the meaning given to the expression 'ESMS' in SMETS1. |
| SMETS1 Future Dated Critical Service Request | means a SMETS1 Critical Service Request which contains an execution date-time which is in the future according to the DCC's time. |
| SMETS1 GPF | means that part of a SMETS1 GSMS that is not a SMETS1 CHF and is powered by mains electricity. For the avoidance of doubt, a SMETS1 GPF excludes any SMETS1 GSME. |
| SMETS1 GSME | means that part of a SMETS1 GSMS that is not a SMETS1 CH. |
| SMETS1 GSMS | has the meaning given to the expression 'GSMS' in SMETS1. |
| SMETS1 IHD | has the meaning given to the expression 'IHD' in SMETS1. |
| SMETS1 Installation | means a SMETS1 CHF installed in respect of an Energy Consumer's premises, the SMETS1 GPF which is part of the same SMETS1 CH, the SMETS1 ESME with which the SMETS1 CHF can communicate, and the set of other Devices (if any) which are authorised to communicate over the HAN to which the CHF |

controls access. The set of other Devices within a SMETS1 Installation shall include at most one SMETS1 GSME, at most one SMETS1 PPMID, at most one SMETS1 IHD and at most one SMETS1 CAD.

SMETS1 Pending Product Combinations Tests has the meaning given to that expression in Section H14.36A (SMETS1 Pending Product Combinations Tests).

SMETS1 Pending Product Combinations has the meaning given to that expression in Section F2.10A (SMETS1 Lists).

SMETS1 PPMID means a SMETS1 IHD that is capable of upgrading its Firmware in response to an Instruction sent over the SMETS1 SM WAN.

SMETS1 Response has the meaning given to that expression in the DCC User Interface Specification.

SMETS1 Service Provider means the DCC when carrying out the role and activities ascribed to a SMETS1 Service Provider in this Code.

SMETS1 Service Provider PKI (or S1SPKI) means any public key infrastructure established (or to be established) for the purpose, among other things, of providing secure communications between the DCC and SMETS1 Devices.

SMETS1 Service Request has the meaning given to that expression in the DCC User Interface Specification.

SMETS1 Smart Metering System means a Smart Metering System comprising SMETS1 Devices.

SMETS1 SMS means a SMETS1 Smart Metering System.

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| SMETS1 SMSO | means a smart meter system operator that provides (or used to provide) some or all of the data and/or communications services in respect of SMETS1 Devices. |
| SMETS1 SM WAN | means the means by which the DCC sends, receives and conveys communications to and from some or all SMETS1 CHFs (which may differ between SMETS1 CHFs). |
| SMETS1 Supported Service Request | has the meaning given to that expression in the DCC User Interface Specification. |
| SMETS1 Supporting Requirements | means the SEC Subsidiary Document set out in Appendix AM. |
| SMETS1 Symmetric Key | means an Authentication Key or a symmetric key which is in either case used to process communications with SMETS1 Devices. |
| <u>SMETS1 Symmetric Key Arrangement</u> | <u>means any arrangement that is established (or is to be established) for the purpose, among other things, of providing secure communications between the DCC and SMETS1 Devices by means of using SMETS1 Symmetric Keys.</u> |
| SMETS2+ Communications Hub | means a Communications Hub which is not a SMETS1 CH. |
| SMETS2+ Device | means a Device which is not a SMETS1 Device. |
| SMETS2+ Device Model | means a Device Model which is not a SMETS1 Device Model. |
| SMETS2+ SM WAN | means the means by which the DCC sends, receives and conveys communications to and from SMETS2+ Communications Hub Functions (which may differ |

from Region to Region).

S1SP

means the SMETS1 Service Provider.

S1SP Alert

has the meaning given to that expression in the DCC User Interface Specification.

S1SPKI Certificate Policy
(or S1SPKI CP)

means any SEC Subsidiary Document of that name set out in Appendix [], which is originally to be developed pursuant to Section L14.5 (The S1SPKI Certificate Policies: Document Development) and Section L14.8 (Document Development: Process).

S1SPKI Certification
Practice Statement (or
S1SPKI CSP)

has the meaning given to that expression in Section L14.9 (The S1SPKI Certification Practice Statement),

S1SPKI Registration
Authority Policies and
Procedures (or S1SPKI
RAPP)

means any SEC Subsidiary Document of that name set out in Appendix [], which is originally to be developed pursuant to Section L14.6 (The S1SPKI Registration Authority Policies and Procedures: Document Development) and Section L14.8 (Document Development: Process).

S1SPKM Compliance
Policy

means the SEC Subsidiary Document of that name set out in Appendix [].

S1SPKM Document Set

has the meaning given to that expression in Section L14.3 (The S1SPKM Document Set).

S1SPKM SEC Documents

has the meaning given to that expression in Section L.14.4 (The S1SPKM SEC Documents).

SMI Status

means the status indicator of each Device recorded within the Smart Metering Inventory, which indicator may (as a minimum) be set to any one of the following:

- (a) 'pending', indicating that the Device has not yet been Commissioned;
- (b) 'installed not commissioned', indicating that the Device is ready to be Commissioned, but has not yet been Commissioned;
- (c) 'commissioned', indicating that the Device has been Commissioned;
- (d) 'decommissioned', indicating that the Device has been Decommissioned;
- (e) 'suspended', indicating that the Device has been Suspended;
- (f) 'whitelisted', indicating that a Device has been added to the Device Log of a Communications Hub Function but that communications between the Device and the Communications Hub Function may not yet have been established;
- (g) 'recovery', indicating that the processing of communications destined for the Device has been disabled (other than for communications originated by the DCC) in accordance with the SMKI Recovery Procedure; or
- (h) 'recovered', indicating that the Data comprising the Device Security Credentials have successfully been updated using Data from one or more OCA Certificates and/or Organisation Certificates for which DCC is the Subscriber as further described in the SMKI Recovery Procedure.

**SMKI and Repository
Entry Process Tests**

means the tests described in Section H14.22 (SMKI and Repository Entry Process Tests).

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| SMKI and Repository Test Scenario Document | means the SEC Subsidiary Document of that name set out in Appendix K, which is originally to be developed pursuant to Section T6 (Development of Enduring Testing Documents). |
| SMKI and Repository Testing | means the testing described in Section T5 (SMKI and Repository Testing). |
| SMKI Code of Connection | means the SEC Subsidiary Document of that name set out in Appendix N, which: <ul style="list-style-type: none"> (a) has the purpose described in Section L4.5 (SMKI Code of Connection); and (b) is originally to be developed pursuant to Sections L4.6 to L4.7 (SMKI Interface Document Development). |
| SMKI Compliance Policy | means the SEC Subsidiary Document of that name set out in Appendix C. |
| SMKI Document Set | has the meaning given to that expression in Section L9.3 (the SMKI Document Set). |
| SMKI Independent Assurance Scheme | has the meaning given to that expression in Part 2.1 of the SMKI Compliance Policy (DCC: Duty to Submit to an SMKI Independent Assurance Scheme). |
| SMKI Interface Design Specification | means the SEC Subsidiary Document of that name set out in Appendix M, which: <ul style="list-style-type: none"> (a) has the purpose described in Section L4.4 (SMKI Interface Design Specification); and (b) is originally to be developed pursuant to Sections L4.6 to L4.7 (SMKI Interface Document Development). |

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| SMKI Participants | means the DCC (acting in its capacity as the provider of the SMKI Services), all Authorised Subscribers and all Relying Parties. |
| SMKI PMA | means the Sub-Committee of that name established pursuant to Section L1 (SMKI Policy Management Authority). |
| SMKI PMA (Network) Member | has the meaning given to that expression in Section L1.8 (Membership of the SMKI PMA). |
| SMKI PMA (Supplier) Members | has the meaning given to that expression in Section L1.6 (Membership of the SMKI PMA). |
| SMKI PMA Chair | has the meaning given to that expression in Section L1.5 (Membership of the SMKI PMA). |
| SMKI PMA Member | has the meaning given to that expression in Section L1.3 (Membership of the SMKI PMA). |
| SMKI Recovery Key Guidance | has the meaning given to that expression in Section L10.9 (The SMKI Recovery Key Guidance). |
| SMKI Recovery Procedure | means the SEC Subsidiary Document of that name set out in Appendix L, which: <ul style="list-style-type: none"> (a) has the purpose described in Section L10.1 (The SMKI Recovery Procedure); and (b) is originally to be developed pursuant to Sections L10.7 to L10.8 (SMKI Recovery Procedure: Document Development). |
| SMKI Registration Authority Policies and Procedures (or SMKI RAPP) | means the SEC Subsidiary Document of that name set out in Appendix D, which is originally to be developed pursuant to Sections L9.5 to L9.6 (the Registration Authority Policies and Procedures: Document |

Development).

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| SMKI Repository | has the meaning given to that expression in Section L5.1 (the SMKI Repository). |
| SMKI Repository Code of Connection | <p>means the SEC Subsidiary Document of that name set out in Appendix P, which:</p> <ul style="list-style-type: none"> (a) has the purpose described in Section L6.5 (SMKI Repository Code of Connection); and (b) is originally to be developed pursuant to Sections L6.6 to L6.7 (SMKI Repository Interface Document Development). |
| SMKI Repository Interface | has the meaning given to that expression in Section L6.3 (the SMKI Repository Interface). |
| SMKI Repository Interface Design Specification | <p>means the SEC Subsidiary Document of that name set out in Appendix O, which:</p> <ul style="list-style-type: none"> (a) has the purpose described in Section L6.4 (SMKI Repository Interface Design Specification); and (b) is originally to be developed pursuant to Sections L6.6 to L6.7 (SMKI Repository Interface Document Development). |
| SMKI Repository Service | has the meaning given to that expression in Section L5.2 (the SMKI Repository Service). |
| SMKI SEC Documents | has the meaning given to that expression in Section L9.4 (the SMKI SEC Documents). |
| SMKI Service Interface | has the meaning given to that expression in Section L4.3 (the SMKI Service Interface). |
| SMKI Services | has the meaning given to that expression in Section |

L3.1 (the SMKI Services).

SMKI Specialist

means an individual (rather than a body corporate, association or partnership) to be appointed and remunerated under a contract with SECCo, who:

- (a) has experience and expertise in public key infrastructure arrangements;
- (b) is sufficiently independent of any particular Party or RDP, or class of Parties or RDPs, and of the Independent SMKI Assurance Service Provider; and
- (c) is chosen by the SMKI PMA Chair from time to time.

SOC2

means the Service Organisation Control 2 standard, as defined by the American Institute of Certified Public Accountants.

**Solution Architecture
Information**

means a description of the overall technical architecture of the DCC Systems (or any part thereof) in more detail than the Technical Architecture Document so as to describe the individual components of the DCC Systems (including hardware and software) and how they interface with the User Systems.

SPAA

means the Supply Point Administration Agreement established pursuant to the Gas Supply Licences.

**Special Installation Mesh
Communications Hub**

means a WAN Variant (in the central Region and the south Region) which is distinguishable from a standard Mesh Communications Hub by the existence of an additional external aerial port.

Special Second-Fuel

means, in the case of a premises for which there is

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| Installation | both an Electricity Smart Meter and a Gas Smart Meter, where on the installation of the second of those two meters to be installed it was necessary to replace the Communications Hub relating to the first of those two meters to be installed because that Communications Hub was not able to serve the second of those two meters to be installed (with the consequence that the Communications Hub that is replaced is removed from the premises and returned to the DCC). |
| Special WAN-Variant Installation | means that the DCC requests (in accordance with the Incident Management Policy) that a Supplier Party replaces an installed Communications Hub with a Communications Hub of a different WAN Variant to the installed Communications Hub, with the consequence that the Communications Hub that is replaced is removed from the premises and returned to the DCC. |
| Specimen Accession Agreement | means the specimen form of agreement set out in Schedule 2. |
| Specimen Bilateral Agreement | means the specimen form of agreement set out in Schedule 3. |
| Specimen Enabling Services Agreement | means the form of specimen agreement set out in Schedule 7 (Specimen Enabling Services Agreement). |
| SRT Approach Document | has the meaning given to that expression in Section T5.5 (SRT Approach Document). |
| SRT Objective | has the meaning given to that expression in Section T5.2 (SRT Objective). |
| SSI Baseline Requirements | means a document produced and maintained by the |

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| Document | DCC in accordance with the Self-Service Interface Access Control Specification. |
| SSI Change Governance Process | means a document established under Section H8.15A (Self-Service Interface) and contains the governance arrangements for making changes to the Self-Service Interface. |
| Stage 1 Assurance Report | has the meaning given to that expression in Part 4.4 of the SMKI Compliance Policy (Nature of the Initial Assessment). |
| Stage 2 Assurance Report | has the meaning given to that expression in Part 4.6 of the SMKI Compliance Policy (Nature of the Initial Assessment). |
| Statement of Service Exemptions | means a statement of that name developed by the DCC in accordance with Condition 17 of the DCC Licence. |
| Sub-Committee | has the meaning given to that expression in Section C6 (Sub-Committees). |
| Sub GHz Alert | Has the meaning given to 'Sub GHz Alert' in the GB Companion Specification. |
| Sub GHz Available Channels | Has the meaning given to 'Sub GHz Available Channels' in the GB Companion Specification. |
| Subject | in relation to a Certificate, has the meaning given to that expression in the relevant Certificate Policy. |
| Sub-Processor | means, in respect of a Party which Processes Personal Data obtained pursuant to this Code as a Data Processor, any person which Processes such Personal Data on behalf of such Party. |

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| Subscriber | means, in relation to any Certificate, SECCo, a Party or an RDP which has been Issued with and accepted that Certificate, acting in its capacity as the holder of the Certificate. |
| Subscriber Obligations | means the provisions in respect of Subscribers set out at Section L11 of the Code (the Subscriber Agreement Obligations). |
| Sub-Version | <p>in relation to:</p> <ul style="list-style-type: none">(a) a Technical Specification, has the meaning given to that expression in Section A3.5(b) (Versions of the Technical Specifications); and(b) the GBCS or CPA Security Characteristics, has the equivalent meaning, in accordance with and subject to the provisions of Section A3.26 (GB Companion Specification and CPA Security Characteristics). |
| Successfully Executed | <p>means:</p> <ul style="list-style-type: none">(a) in respect of a Command and a Device, that the action that a Command of the relevant type is designed to effect in respect of a Device of the relevant Device Type has been effected on the Device;(b) in respect of a Service Request and a Device, that the associated Command has been Successfully Executed on the Device as described in (a) above (or, in the case of Service Requests that are not designed to result in a Command, that the action that a Service |

Request of the relevant type is designed to effect has been effected); or

- (c) in respect of a SMETS1 Service Request and a Device, that the Equivalent Steps have been successfully carried out.

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| Successor Licensee | has the meaning given to that expression in Section M9.2 (Application and Interpretation of Section M9). |
| Supplementary Remote Party | has the meaning given to that expression in the GB Companion Specification. |
| Supplier Party | means a Party that is an Electricity Supplier Party and/or a Gas Supplier Party. |
| Supply Meter Point | has the meaning given to that expression in the UNC. |
| Supply Meter Point Reference Number | has the meaning given to that expression in the UNC. |
| Supply Number | has the meaning given to that expression in the MRA. |
| Supply of Energy | means either or both of the supply of gas pursuant to the Gas Act and the supply of electricity pursuant to the Electricity Act (in each case within the meaning that is given to the expression “supply” in the respective Act). |
| Supply Sensitive Check | means a check carried out by a User in relation to a Supply Sensitive Service Request in order to confirm the intention of the User that the associated Command(s) should be executed on the relevant Device, having regard to the reasonably foreseeable effect that the Command(s) could have on the quantity |

of gas or electricity that is supplied to a consumer at premises.

Supply Sensitive Service Request

means any Service Request in respect of which it is reasonably foreseeable that the associated Command(s), if it were to be executed on the relevant Device, could affect (either directly or indirectly) the quantity of gas or electricity that is supplied to a consumer at premises.

Suspended

means, in respect of a Device, that the Device has been suspended (or deemed suspended) in accordance with Section H6.10 (Suspension); and the word “**Suspension**” shall be interpreted accordingly.

Symmetric Key

means any key derived from a Shared Secret in accordance with the GB Companion Specification

System

means a system for generating, sending, receiving, storing (including for the purposes of Back-Up), manipulating or otherwise processing electronic communications, including all hardware, software, firmware and Data associated therewith.

System Development Lifecycle

means, in relation to any System, the whole of the life of that System from its initial concept to ultimate disposal, including the stages of development, design, build, testing, configuration, implementation, operation, maintenance, modification and decommissioning.

Systems Integration Testing

means the testing described in Section T2 (Systems Integration Testing).

Tailored Assurance Service (CTAS)

means the scheme of that name which is administered by NCSC, or any successor to that scheme.

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| Target Availability Period | <p>means, in relation to the Self-Service Interface, a period of time in respect of each month, expressed in minutes and calculated as:</p> <ul style="list-style-type: none">(a) the total number of minutes in that month, minus(b) the number of minutes during which the relevant DCC Service Provider has, acting in compliance with Sections H8.2 and H8.3 (Maintenance of the DCC Systems), arranged for the Self-Service Interface to be unavailable during that month for the purposes of Planned Maintenance. |
| Target Resolution Time | <p>has the meaning given to that expression in Section H9.1 (Incident Management Policy).</p> |
| Target Response Time | <p>has the meaning given to that expression in Section H3.14 (Target Response Times) or L8 (SMKI Performance Standards and Demand Management).</p> |
| Target Service Level | <p>means, in respect of each Performance Measure, the number or percentage intended to represent a reasonable level of performance for the activity which is the subject of the Performance Measure, as set out in:</p> <ul style="list-style-type: none">(a) Section D11.1 (Code Performance Measures);(b) Section H13.1 (Code Performance Measures);(c) the Reported List of Service Provider Performance Measures; or(d) Section L8.6 (Code Performance Measures). |
| TCH Participant | <p>has the meaning given to that expression in Section F10.5 (Provision of Test Communications Hubs).</p> |

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| Technical Architecture and Business Architecture Sub-Committee | means the Sub-Committee established pursuant to Section F1 (Technical Architecture and Business Architecture Sub-Committee). |
| 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 DCC Release Management Policy, the SEC Release Management Policy, the 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. |
| Test Certificate | means a certificate that simulates the function of a Certificate for the purpose of testing pursuant to this Code. |
| Test Communications Hub | means: <ul style="list-style-type: none"> (a) until such date as the DCC may determine (or such earlier date as the Secretary of State may designate for the purposes of this definition), a |

Prototype Communications Hub; and

- (b) after such date, a device that is equivalent to a SMETS2+ Communications Hub but which contains such variations in functionality as the DCC reasonably considers appropriate to enable the device to be used for the purposes of testing, which device is provided (or to be provided) for the purpose of testing as described in Section F10 (Test Communications Hubs).

Test Repository

means a repository that simulates the function of the SMKI Repository for the purpose of testing pursuant to this Code.

Test Stubs

means Systems and actions which simulate the behaviour of Devices and User Systems.

Testing Issue

means, in respect of any tests:

- (a) anything that is preventing the execution of the tests; or
- (b) once commenced or executed, the test has an unexpected or unexplained outcome or response.

Testing Objectives

means one or more of the SIT Objective and the Interface Testing Objective.

Testing Participant

means, in respect of each Testing Service, the persons (whether or not they are Parties) who are entitled to undertake such tests, as described in Section H14 (Testing Services), together with any other persons identified as such in Section T (Testing During Transition).

Testing Service

has the meaning given to that expression in Section

H14.1 (General Testing Requirements).

Threshold Anomaly

Detection

means the DCC processes which:

- (a) in respect of any User ID used by a User in one or more of its User Roles, detect whether the total number of communications (in general or of a particular type) sent, received or processed by the DCC in relation to that User ID exceeds the relevant Anomaly Detection Threshold;
- (b) in respect of the DCC (including when acting as a DCO or a SMETS1 Service Provider), detect whether:
 - (i) the total number of communications of a particular type generated sent, received or processed by the DCC in relation to all Users and the CoS Party exceeds the relevant Anomaly Detection Threshold; and
 - (ii) a data value within a communication of a particular type sent, received or processed by the DCC in relation to a User exceeds or is less than the relevant Anomaly Detection Threshold; and
- (c) quarantine those communications (other than in the case of Threshold Anomaly Detection applied by a DCO) that, in the case of paragraph (a) or (b)(i) above, are in excess of the relevant Anomaly Detection Threshold or, in the case of paragraph (b)(ii) above, contain a data value that exceeds or is less than the relevant Anomaly Detection Threshold.

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| Threshold Anomaly Detection Procedures | means the SEC Subsidiary Document of that name set out in Appendix AA, which has the purpose described in Section G6.1 (Threshold Anomaly Detection Procedures). |
| Transform | means, in respect of a Service Request in relation to a Device, the conversion of that Service Request into one or more corresponding Commands (less any required Message Authentication Code or Digital Signatures), where such correspondence is identified in the DCC User Interface Specification in respect of particular types of Service Request and particular Device Types; and “ Transformed ” shall be interpreted accordingly. |
| Transition and Migration Approach Document | means the SEC Subsidiary Document set out in Appendix [TBC]. |
| Transition Objective | has the meaning given to that expression in Section X1 (General Provisions Regarding Transition). |
| Transport Layer Security | means TLS 1.2 as defined in the Internet Engineering Task Force (IETF) Request For Change (RFC) 5246 or any equivalent to that document which updates or replaces it from time to time. |
| TS Applicability Tables | means the document set out in Schedule 11 which has the content described at Section A3.32 (The TS Applicability Tables). |
| Type 1 Device | means a HAN Connected Auxiliary Load Control Switch or a Pre-Payment Meter Interface Device. |
| Type 2 Device | has the meaning given to that expression in the SMETS (or given to the expression 'Consumer Device') |

in the SMETS1).

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| Type 2 Device (Other) | means a Type 2 Device that is not an IHD. |
| UKAS | means the United Kingdom Accreditation Service |
| Unambiguous Consent | <p>means the explicit and informed consent of an Energy Consumer given to a User to undertake a specified action, and that consent shall not be treated as having been given explicitly unless the Energy Consumer has:</p> <p>(a) of his or her own volition, communicated to the User a request for it to undertake that action; or</p> <p>in response to a specific request by the User for him or her to indicate consent to it undertaking that action, taken a positive step amounting to a clear communication of that consent.</p> |
| UNC | means the Uniform Network Code established pursuant to the Gas Transporter Licences. |
| Unique Transaction Reference Number (UTRN) | has, where used in relation to a SMETS2+ Device, the meaning given to that expression in the GB Companion Specification; or, where used in relation to SMETS1 Device, has the meaning set out in SMETS1. |
| Unknown Remote Party | for SMETS2+ Devices, has the meaning given to that expression in the GB Companion Specification; and, for SMETS1 Devices, has the meaning set out in the SMETS1 Supporting Requirements. |
| Unplanned Maintenance | means, in respect of a month, Maintenance of the DCC Systems that was not planned prior to the start of that month and which disrupts, will disrupt, or poses a Material Risk of disruption to, provision of the |

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| | Services (and, where it disrupts, will disrupt, or poses a Material Risk of disruption to, the provision of the Services in relation to Devices associated with Communications Hubs, at least 100,000 Communications Hubs are affected). |
| Unsecured Credit Factor | has the meaning given to that expression in Section J3.4 (Party's Unsecured Credit Factor). |
| Unsecured Credit Limit | has the meaning given to that expression in Section J3.3A (Party's Unsecured Credit Limit). |
| Upgrade Image | shall have the meaning given to that expression in the SMETS1 Supporting Requirements. |
| UPRN | means the unique property reference number (if any) recorded in respect of a premises so as to link the MPAN(s) and MPRN for that premises. |
| Urgent DCC Assessment | means a DCC Assessment in respect of an Urgent Modification Proposal. |
| Urgent Proposal | has the meaning given to that expression in Section D4.6 (Urgent Proposals). |
| User | means a Party that has completed the User Entry Process (and, in respect of Services available in accordance with this Code to Users acting only in one or more User Roles, a Party that has completed the User Entry Process for that User Role). |
| User Entry Process | means the process described in Section H1 (User Entry Process). |
| User Entry Process Tests | means the tests described in Section H14.13 (User Entry Process Tests). |

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| User ID | means, in respect of a User and a User Role, one of the unique identification numbers accepted by the DCC in respect of that User and that User Role under Section H1.6 (User Roles and User IDs). |
| User Independent Security Assurance Service Provider | has the meaning given to that expression in Section G8.1 (Procurement of the Independent Security Assurance Service Provider). |
| User Personnel | means those persons who are engaged by a User, in so far as such persons carry out, or are authorised to carry out, any activity in relation to the business of the User in the exercise of rights and compliance with obligations under this Code. |
| User Privacy Self-Assessment | has the meaning given to that expression in Section I2.12 (Categories of Assessment). |
| User Privacy Self-Assessment Report | has the meaning given to that expression in Section I2.24 (The User Privacy Self-Assessment Report). |
| User Role | means, in respect of the Service set out in the DCC User Interface Services Schedule and Elective Communication Services, one of the categories of User that is capable of being an Eligible User in respect of those Services (determined without reference to a particular Smart Metering System), and which comprise the following categories (construed without reference to a particular Smart Metering System): Import Supplier, Export Supplier, Gas Supplier, Electricity Distributor, Gas Transporter, Registered Supplier Agent and Other User. |
| User Security Assessment | means either a Full User Security Assessment or a Verification User Security Assessment. |

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| User Security Assessment Methodology | <p>means a methodology to be applied (as the case may be):</p> <ul style="list-style-type: none">(a) by the User Independent Security Assurance Service Provider in carrying out any User Security Assessment; or(b) by a User, in carrying out any User Security Self-Assessment, <p>in each case in accordance with the provisions of the Security Controls Framework applicable to the relevant category of security assurance assessment.</p> |
| User Security Assessment Report | <p>has the meaning given to that expression in Section G8.22 (User Security Assessments: General Procedure).</p> |
| User Security Assessment Response | <p>has the meaning given to that expression in Section G8.24 (User Security Assessments: General Procedure).</p> |
| User Security Self-Assessment | <p>has the meaning given to that expression in Section G8.18 (Categories of Security Assurance Assessment).</p> |
| User Systems | <p>means any Systems (excluding any Devices) which are operated by or on behalf of a User and used in whole or in part for:</p> <ul style="list-style-type: none">(a) constructing Service Requests;(b) sending Service Requests over the DCC User Interface;(c) receiving, sending, storing, using or otherwise carrying out any processing in respect of any Pre-Command or Signed Pre-Command;(d) receiving Service Responses or Alerts over the |

DCC User Interface;

- (e) generating Data for communication to the OCA, DCA, ICA or DCCKICA, or receiving Data from the OCA, DCA, ICA or DCCKICA (including any Systems which store or use Secret Key Material for such purposes) but excluding communications in relation to Devices that do not have an SMI Status of "commissioned" or "installed not commissioned"; and/or
- (f) generating any Unique Transaction Reference Number,

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

**UTC (Coordinated
Universal Time)**

means the prime standard by which clocks and time are regulated.

**Valid Communications Hub
Order**

means the Consignment or Consignments which arise from a Communications Hub Order that has been accepted by the DCC under Section F5.16 or F5.17 (DCC: Duties in relation to Communications Hub Orders), and which have not been cancelled by the ordering Party in accordance with Section F5.19 (Non-Standard Cancellation of Consignments).

Validity Period

has the meaning given to that expression in any of the Certificate Policies or the DCCKI Certificate Policy.

Value at Risk

has the meaning given to that expression in Section J3.3 (Party's Value at Risk).

VAT

means VAT, as defined in the Value Added Tax Act

1994, and any tax of a similar nature which may be substituted for or levied in addition to it.

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| Verification User Security Assessment | has the meaning given to that expression in Section G8.17 (Categories of Security Assurance Assessment). |
| Verify | means, in respect of a Service Request or Signed Pre-Command, to confirm that it meets all the applicable requirements of the DCC User Interface Specification. |
| Version | <p>in relation to:</p> <ul style="list-style-type: none">(a) a Technical Specification, has the meaning given to that expression in Section A3.2 (Versions of the Technical Specifications); and(b) the GBCS or CPA Security Characteristics, has the meaning given to that expression in Section A3.25 (GB Companion Specification and CPA Security Characteristics), <p>and in each case includes both the Principal Version and Sub-Version of that document.</p> |
| Volume Scenarios | means the capacity levels to which the DCC Systems will be tested. |
| Voting Group | means, in respect of each Party Category, each Party that falls into that Party Category collectively with that Party's Affiliates (if any) who also fall into that Party Category. |
| WAN Variants | means the variations of SMETS2+ Communications Hub that are necessary to enable communications via the SMETS2+ SM WAN in each Region (and each part thereof that is not subject to the Statement of Service Exemptions). |

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| Website | means a dedicated website established at the direction of the Panel for the purposes of this Code. |
| Wide Area Network (WAN) Provider | means the DCC, acting in the capacity and exercising the functions of the Known Remote Party role identified as such in the GB Companion Specification. |
| Working Day | means any day other than a Saturday, a Sunday, Christmas Day, Good Friday, or a day that is a bank holiday within the meaning of the Banking and Financial Dealings Act 1971. |
| Working Group | has the meaning given to that expression in Section D6.2 (Establishment of a Working Group). |
| Working Group Terms of Reference | has the meaning given to that term in Section D6.2 (Establishment of a Working Group). |
| Zigbee Alliance | means the association of that name administered by ZigBee Alliance Inc (2400 Camino Ramon, Suite 375, San Ramon, CA 94583, USA) (see - www.zigbee.org). |

SECTION L – SMART METERING KEY INFRASTRUCTURE AND DCC KEY INFRASTRUCTURE

L1 SMKI POLICY MANAGEMENT AUTHORITY

Establishment of the SMKI PMA

- L1.1 The Panel shall establish a Sub-Committee in accordance with the requirements of this Section L1, to be known as the “**SMKI PMA**”.
- L1.2 Save as expressly set out in this Section L1, the SMKI PMA shall be subject to the provisions concerning Sub-Committees set out in Section C6 (Sub-Committees).

Membership of the SMKI PMA

- L1.3 The SMKI PMA shall be composed of the following persons (each an “**SMKI PMA Member**”):
- (a) the SMKI PMA Chair (as further described in Section L1.5);
 - (b) four SMKI PMA (Supplier) Members (as further described in Section L1.6);
 - (c) two SMKI PMA (Network) Member (as further described in Section L1.8);
and
 - (d) one representative of the Security Sub-Committee and one representative of the Technical Architecture and Business Architecture Sub-Committee (in each case as further described in Section L1.10); and
 - (e) one SMKI Specialist (appointed as described in the definition of that expression in Section A1 (Definitions)).
- L1.4 Each SMKI PMA Member must be an individual (and cannot be a body corporate, association or partnership). No one person can hold more than one office as an SMKI PMA Member at the same time.
- L1.5 The “**SMKI PMA Chair**” shall be such person as is (from time to time) appointed to that role by the Panel in accordance with a process designed to ensure that:

SEC Sections A1, L1 and (new) L14 and L15 – September 2019 Consultation – Proposed changes for SMKI governance shown in track change against legal in effect version

- (a) the candidate selected is sufficiently independent of any particular Party or class of Parties;
- (b) the SMKI PMA Chair is appointed for a three-year term (following which he or she can apply to be re-appointed);
- (c) the SMKI PMA Chair is remunerated at a reasonable rate;
- (d) the SMKI PMA Chair's appointment is subject to Section C6.9 (Member Confirmation), and to terms equivalent to Section C4.6 (Removal of Elected Members); and
- (e) provision is made for the SMKI PMA Chair to continue in office for a reasonable period following the end of his or her term of office in the event of any delay in appointing his or her successor.

L1.6 Each of the four “**SMKI PMA (Supplier) Members**” shall (subject to any directions to the contrary made by the Secretary of State for the purpose of transition on the incorporation of this Section L1 into this Code):

- (a) be appointed in accordance with Section L1.7, subject to compliance by the appointed person with Section C6.9 (Member Confirmation);
- (b) retire 2 years after his or her appointment (without prejudice to his or her ability to be nominated for a further term of office); and
- (c) be capable of being removed from office in accordance with Sections C4.5 and C4.6 (Removal of Elected Members), for which purpose those Sections shall be read as if references to “Elected Member” were to “SMKI PMA (Supplier) Member”, references to “Panel” were to “SMKI PMA”, references to “Panel Chair” were to “SMKI PMA Chair”, and references to “Panel Members” were to “SMKI PMA Members”.

L1.7 Each of the four SMKI PMA (Supplier) Members shall be appointed in accordance with a process:

- (a) by which three SMKI PMA (Supplier) Members will be elected by Large Supplier Parties, and one SMKI PMA (Supplier) Member will be elected by

Small Supplier Parties;

- (b) by which any person (whether or not a Supplier Party) shall be entitled to nominate candidates to be elected as an SMKI PMA (Supplier) Member; and
- (c) that is otherwise the same as that by which Elected Members are elected under Sections C4.2 and C4.3 (as if references therein to “Panel” were to “SMKI PMA”, references to “Panel Chair” were to “SMKI PMA Chair”, references to “Panel Members” were to “SMKI PMA Members”, and references to provisions of Section C or D were to the corresponding provisions set out in or applied pursuant to this Section L1).

L1.8 The “**SMKI PMA (Network) Members**” shall (subject to any directions to the contrary made by the Secretary of State for the purpose of transition on the incorporation of this Section L1 into this Code):

- (a) be appointed in accordance with Section L1.9, subject to compliance by the appointed person with Section C6.9 (Member Confirmation);
- (b) retire 2 years after his or her appointment (without prejudice to his or her ability to be nominated for a further term of office); and
- (c) be capable of being removed from office in accordance with Sections C4.5 and C4.6 (Removal of Elected Members), for which purpose those Sections shall be read as if references to “Elected Member” were to “SMKI PMA (Network) Members”, references to “Panel” were to “SMKI PMA”, references to “Panel Chair” were to “SMKI PMA Chair”, and references to “Panel Members” were to “SMKI PMA Members”.

L1.9 The two SMKI PMA (Network) Member shall be appointed in accordance with a process:

- (a) by which one SMKI PMA (Network) Member will be elected by the Electricity Network Parties and one SMKI PMA (Network) Member will be elected by the Gas Network Parties; and
- (b) that is otherwise the same as that by which Elected Members are elected under Sections C4.2 and C4.3 (as if references therein to “Panel” were to “SMKI

PMA”, to “Panel Chair” were to “PMA Chair”, to “Panel Members” were to “SMKI PMA Members”, and to provisions of Section C or D were to the corresponding provisions set out in or applied pursuant to this Section L1).

L1.10 The Security Sub-Committee and the Technical Architecture and Business

Architecture Sub-Committee shall each nominate one of their members to be an SMKI PMA Member by notice to the Secretariat from time to time. The Security Sub-Committee or the Technical Architecture and Business Architecture Sub-Committee (as applicable) may each replace its nominee from time to time by prior notice to the Secretariat. Such nomination or replacement shall be subject to compliance by the relevant person with Section C6.9 (Member Confirmation). Until each such Sub-Committee exists, the Panel shall nominate a person to act as a representative of that Sub-Committee (and may from time to time replace such person).

L1.11 Each SMKI PMA Member must ensure that he or she reads the SMKI Document Set when first appointed, and subsequently from time to time, so that he or she is familiar with its content.

Proceedings of the SMKI PMA

L1.12 Each SMKI PMA Member shall be entitled to appoint an Alternate in accordance with Section C5.19 (as it applies pursuant to Section L1.15); provided that:

- (a) the SMKI PMA Chair will be deemed to have nominated the SMKI Specialist to act as Alternate for the SMKI PMA Chair; and
- (b) where the SMKI Specialist is unavailable, the SMKI PMA Chair must nominate another person to act as Alternate for the SMKI PMA Chair (which person may not be another SMKI PMA Member, and which person must be sufficiently independent of any particular Party or class of Parties).

L1.13 No business shall be transacted at any meeting of the SMKI PMA unless a quorum is present at that meeting. The quorum for each such meeting shall be four of the SMKI PMA Members, at least one of whom must be the SMKI PMA Chair (or his or her Alternate).

L1.14 Without prejudice to the generality of Section C5.13(c) (Attendance by Other

Persons) as it applies pursuant to Section L1.15:

- (a) a representative of the DCC shall be invited to attend each and every SMKI PMA meeting (which representative shall be entitled to speak at SMKI PMA meetings without the permission of the SMKI PMA Chair); and
- (b) other persons who may be invited to attend SMKI PMA meetings may include:
 - (i) the Independent SMKI Assurance Service Provider;
 - (ii) one or more representatives of Device Manufacturers; or
 - (iii) a specialist legal adviser.

L1.15 Subject to Sections L1.12, L1.13 and L1.14, the provisions of Section C5 (Proceedings of the Panel) shall apply to the proceedings of the SMKI PMA, for which purpose that Section shall be read as if references to “Panel” were to “SMKI PMA”, references to “Panel Chair” were to “SMKI PMA Chair”, and references to “Panel Members” were to “SMKI PMA Members”.

L1.16 Notwithstanding Section C3.12 (Protections for Panel Members and Others), that Section shall not apply to the SMKI Specialist in any circumstances and the SMKI Specialist shall have no rights under that Section.

Duties of the SMKI PMA

L1.17 The SMKI PMA shall undertake the following duties:

- (a) to approve the Device CPS, Organisation CPS and the IKI CPS, and any changes to those documents, in accordance with Sections L9;
- (b) to propose variations to the SMKI SEC Documents, as further described in Section L1.19;
- (c) to periodically review (including where directed to do so by the Panel) the effectiveness of the SMKI Document Set (including so as to evaluate whether the SMKI Document Set remains consistent with the SEC Objectives), and report to the Panel on the outcome of such review (such report to include any

recommendations for action that the SMKI PMA considers appropriate);

- (d) as soon as reasonably practicable following the incorporation of each of the following documents into this Code, its re-incorporation, or its modification in accordance with section 88 of the Energy Act 2008, to review that document in accordance with paragraph (c) above:

- (i) the SMKI Compliance Policy;
- (ii) the SMKI RAPP;
- (iii) the Device Certificate Policy;
- (iv) the Organisation Certificate Policy;
- (v) the IKI Certificate Policy;
- (vi) the SMKI Recovery Procedure,

and (where the SMKI PMA considers it appropriate to do so) submit one or more Draft Proposals in respect of those documents;

- (e) to periodically review the effectiveness of the DCC KI Document Set and to:
 - (i) notify DCC where it considers that changes should be made to the DCC KI Document Set in order to ensure that DCC meets its obligations under Section G (Security) (such notification to include any recommendation for action that the SMKI PMA considers appropriate); and
 - (ii) copy any such notification to the Security Sub-Committee and, except to the extent that it is appropriate to redact information for security purposes, to other SEC Parties;
- (f) as soon as reasonably practicable following the incorporation of each of the following documents into this Code, its re-incorporation, or its modification in accordance with section 88 of the Energy Act 2008, to review that document in accordance with paragraph (e) above:

SEC Sections A1, L1 and (new) L14 and L15 – September 2019 Consultation – Proposed changes for SMKI governance shown in track change against legal in effect version

- (i) the DCCKI RAPP;
- (ii) the DCCKI Certificate Policy;
- (g) to review the DCCKI CPS, and any amendments proposed to be made to it by the DCC, in accordance with Section L13 (DCC Key Infrastructure);
- (h) as part of its review of the SMKI Compliance Policy pursuant to paragraph (d) above, to consider whether SMKI Participants which are subject to assurance assessments pursuant to the SMKI Compliance Policy should be liable to meet the costs (or a proportion of the costs) of undertaking such assessments, and (where the SMKI PMA considers it appropriate to do so) submit one or more Draft Proposals as referred to in paragraph (d) above;
- (i) in relation to any incident in which a Relevant Private Key is (or is suspected of being) Compromised, to decide, in accordance with the SMKI Recovery Key Guidance, whether or not to require the use of the Recovery Private Key or Contingency Private Key (including the Symmetric Key);
- (j) to exercise the functions allocated to it under the SMKI Recovery Procedure, and in particular to exercise any power to nominate Parties for such purposes (and in accordance with such procedures) as may be set out in the SMKI Recovery Procedure;
- (k) to provide the Panel, the Change Sub-Committee, the Change Board and Working Groups with support and advice in respect of Draft Proposals and Modification Proposals that provide for variations to the SMKI SEC Documents, ~~or the DCCKI SEC Documents,~~ or the S1SPKM SEC Documents;
- (l) to provide assurance in accordance with Section L2 (SMKI Assurance);
- (m) to provide the Panel with support and advice in respect of Disputes for which the Panel is required to make a determination, insofar as such Disputes relate to the SMKI Document Set, ~~or the DCCKI Document Set~~ or the S1SPKM Document Set;
- (n) to provide the Panel and Sub-Committees with general advice and support with respect to the SMKI Services, the SMKI Repository Service, the DCCKI

Services, ~~and~~ the DCCKI Repository Service, each S1SPKI and each SMETS1 Symmetric Key Arrangement;

(o) to exercise such functions as are allocated to it under, and to comply with all the applicable requirements of, the SMKI Document Set in accordance with Section L9.1;

(p) in respect of each S1SPKI CPS, to review, and either to approve or determine not to reject (subject to such amendments as it may direct), or to reject:

(i) a draft of that document, in accordance with Section L14.11;

(ii) any proposed amendment to that document, in accordance with Section L14.13;

(q) to periodically review the effectiveness of the S1SPKM Document Set and to:

(i) notify DCC where it considers that changes should be made to the S1SPKM Document Set (such notification to include any recommendation for action that the SMKI PMA considers appropriate); and

(ii) copy any such notification to the Security Sub-Committee;

(r) as soon as reasonably practicable following the incorporation of each of the following documents into this Code, its re-incorporation, or its modification in accordance with section 88 of the Energy Act 2008, to review that document in accordance with paragraph (q) above:

(i) each S1SPKI Certificate Policy;

(ii) each S1SPKI RAPP;

(iii) each SMETS1 Cryptographic Key Management Policy;

(iv) the S1SPKM Compliance Policy; and

~~(o)~~ and

~~(p)~~(s) to perform any other duties expressly ascribed to the SMKI PMA elsewhere in

this Code.

L1.18 The SMKI PMA shall establish a process whereby the Code Administrator monitors Draft Proposals and Modification Proposals with a view to identifying (and bringing to the SMKI PMA's attention) those proposals that are likely to affect the SMKI SEC Documents. The Code Administrator shall comply with such process.

Modification of the SMKI SEC Documents and S1SPKM SEC Documents by the SMKI PMA

L1.19 Notwithstanding Section D1.3 (Persons Entitled to Submit Draft Proposals):

- (a) the SMKI PMA shall be entitled to submit Draft Proposals in respect of any of the SMKI SEC Documents or S1SPKM SEC Documents where the SMKI PMA considers it appropriate to do so; and
- (b) any SMKI PMA Member shall be entitled to submit Draft Proposals in respect of any of the SMKI SEC Documents or S1SPKM SEC Documents where he or she considers it appropriate to do so (where the SMKI PMA has voted not to do so).

L14 THE S1SPKM DOCUMENT SET

Obligations on the SMKI PMA

L14.1 The SMKI PMA shall exercise the functions that are allocated to it under and (in so far as they apply to it) comply with the requirements of the S1SPKM Document Set.

Obligations on the DCC

L14.2 The DCC shall (in so far as they apply to it) comply with the requirements of the S1SPKM Document Set.

The S1SPKM Document Set

L14.3 For the purposes of this Section L14, the "SMETS1 Service Provider Key Management Document Set" (or "S1SPKM Document Set") means:

- (a) the S1SPKM SEC Documents; and
- (b) each S1SPKI CPS.

The S1SPKM SEC Documents

L14.4 For the purposes of this Section L14, the "SMETS1 Service Provider Key Management SEC Documents" (or "S1SPKM SEC Documents") means the provisions of the Code comprising:

- (a) the following SEC Subsidiary Documents:
 - (i) each S1SPKI Certificate Policy;
 - (ii) each S1SPKI RAPP;
 - (iii) each SMETS1 Cryptographic Key Management Policy;
 - (iv) the SMKI Recovery Procedure;
 - (v) the S1SPKM Compliance Policy;

- (b) the provisions of this Section L14; and
- (c) every other provision of the Code which relates to the establishment, provision or use of any the S1SPKI, or to any matters directly arising from or affecting the establishment, provision or use of the S1SPKI.

The S1SPKI Certificate Policies: Document Development

L14.5 The DCC shall develop a draft of one or more S1SPKI Certificate Policies:

- (a) so that each such S1SPKI CP shall be in equivalent form, and have content which corresponds, to the Organisation Certificate Policy; and
- (b) in accordance with the process set out at Section L14.8.

The S1SPKI Registration Authority Policies and Procedures: Document Development

L14.6 The DCC shall develop a draft of one or more S1SPKI Registration Authority Policies and Procedures:

- (a) so that there shall be an S1SPKI RAPP in respect of each S1SPKI CP;
- (b) so that each such S1SPKI RAPP shall make provision for such matters as are specified in the related S1SPKI CP as being matters to be provided for in that S1SPKI RAPP;
- (c) in accordance with the process set out at Section L14.8.

The SMETS1 Cryptographic Key Management Policy: Document Development

L14.7 The DCC shall, in respect of each SMETS1 Symmetric Key Arrangement, develop a draft of a SMETS1 Cryptographic Key Management Policy, which shall:

- (a) be in accordance with the requirements of "A10.1.2 – Key Management" of ISO 27001;
- (b) set out the policy on the use, protection and duration of the Symmetric Keys throughout their entire lifecycle;

- (c) make provision for managing those Symmetric Keys throughout their entire lifecycle, including in particular provision for generating, storing, archiving, distributing, retiring and destroying them;
- (d) specify secure procedures and methods for:
 - (i) generating Symmetric Keys for different cryptographic systems and different applications;
 - (ii) distributing Symmetric Keys to intended recipients;
 - (iii) activating the Symmetric Keys when received;
 - (iv) storing Symmetric Keys and providing access to them for authorised users;
 - (v) changing or updating Symmetric Keys, including provision for how and when they will be changed or updated;
 - (vi) dealing with Compromised Symmetric Keys;
 - (vii) revoking Symmetric Keys, including provision for how and when they are to be withdrawn or deactivated;
 - (viii) recovering Symmetric Keys that are lost or corrupted;
 - (ix) backing-up or archiving Symmetric Keys;
 - (x) destroying Symmetric Keys; and
 - (xi) the logging and auditing of key management related activities; and
- (e) be developed in accordance with the process set out at Section L14.8.

Document Development: Process

L14.8 The process set out in this Section L14.8 for the development of a draft of any S1SPKI CP, S1SPKI RAPP and SMETS1 Cryptographic Key Management Policy, is that, in respect of each such document:

- (a) the DCC shall, as soon as reasonably practicable after the coming into effect of this Section L14, in consultation with the Parties and such other persons as it considers appropriate, produce a draft of the document;
- (b) where a disagreement arises with any person who is consulted with regard to any proposal as to the content of the document, the DCC shall endeavour to reach an agreed proposal with that person consistent with the purposes of the document specified in Section L14.5, L14.6 or L14.7 (as the case may be);
- (c) the DCC shall send a draft of the document to the Secretary of State as soon as is practicable after it is produced, and shall when doing so provide to the Secretary of State:
 - (i) a statement of the reasons why the DCC considers that draft to be fit for purpose; and
 - (ii) a summary of any disagreements that arose during consultation, identifying in particular any that have not been resolved by reaching an agreed proposal; and
- (d) the DCC shall comply with any requirements in a direction given to it by the Secretary of State in relation to the draft of the document, including in particular:
 - (i) any requirement to produce and submit to the Secretary of State a further draft of the document; and
 - (ii) any requirement as to the process to be followed by the DCC (and the time within which that process shall be completed) prior to submitting a further such draft.

The S1SPKI Certification Practice Statement

L14.9 The DCC shall establish, give effect to, maintain and comply with one or more documents, each of which shall be known as an "**S1SPKI Certification Practice Statement**" (or "**S1SPKI CPS**"), so that there shall be an S1SPKI CPS in respect of each S1SPKI CP.

L14.10 Each S1SPKI CPS shall be a document which:

- (a) sets out the policies and procedures of the DCC designed to ensure that it will comply with the requirements of the related S1SPKI Certificate Policy;
- (b) incorporates the detailed operating procedures to be used by the DCC for the purposes of its compliance with the requirements of that Policy;
- (c) incorporates such other provisions as may be required by or in accordance with that Policy or any other part of the Code; and
- (d) has been reviewed by the SMKI PMA and either approved by it or not rejected (whether or not following the making of such amendments as may be directed by the SMKI PMA) in accordance with the provisions of Section L14.11(b).

L14.11 For the purposes of the review of an S1SPKI CPS by the SMKI PMA in accordance with Section L14.10(d):

- (a) the DCC shall submit an initial draft of the document to the SMKI PMA as soon as reasonably practicable after the coming into effect of this Section L14;
- (b) the SKMI PMA shall review the initial draft of the document and shall:
 - (i) approve the draft;
 - (ii) determine that the draft is not rejected;
 - (iii) reject the draft; or
 - (iv) notify the DCC that it will either approve the draft or the determine that the draft is not rejected subject to the DCC first making such amendments to the document as it may direct; and
- (c) the DCC shall make any amendments to the draft document that may be directed by the SMKI PMA in accordance with sub-paragraph (b)(iv).

L14.12 The DCC shall keep each S1SPKI CPS under review, and shall in particular carry out a review of an S1SPKI CPS:

- (a) whenever (and to the extent to which) it may be required to so by the SMKI PMA; and
- (b) following receipt of a notification from the SMKI PMA in accordance with Section L1.17(q) (Duties of the SMKI PMA).

L14.13 Following:

- (a) any review of an S1SPKI CPS, the DCC may propose amendments to that document, and:
 - (i) any such amendments shall be submitted by the DCC to the SMKI PMA for its review; and
 - (ii) following the review by the SMKI PMA, the provisions of Sections L14.11(b) and (c) shall apply in respect of those amendments as they applied to the initial draft of the S1SPKI CPS; and
- (b) a review carried out in accordance with Section L14.12(b), the DCC shall report to the SMKI PMA any remedial steps taken or proposed to be taken in order for it to continue to meet its obligations under Section G (Security).

L15 S1SPKM ASSURANCE

S1SPKM Compliance Policy

L15.1 The SKMI PMA shall exercise the functions allocated to it by the S1SPKM Compliance Policy.

L15.2 The DCC shall procure all such services as are required for the purposes of complying with its obligations under the S1SPKM Compliance Policy.

The DCC: Duty to Cooperate in Assessment

L15.3 The DCC shall do all such things as may be reasonably requested by the SMKI PMA, or by any person acting on behalf of or at the request of the SMKI PMA (including in particular the Independent S1SPKM Assurance Service Provider), for the purposes of facilitating an assessment of the DCC's compliance with any applicable requirements of the S1SPKM Document Set.

L15.4 For the purposes of Section L15.3, the DCC shall provide the SMKI PMA (or the relevant person acting on its behalf or at its request) with:

- (a) all such Data as may reasonably be requested, within such times and in such format as may reasonably be specified; and
- (b) all such other forms of cooperation as may reasonably be requested, including in particular access at all reasonable times to:
 - (i) such parts of the premises of the DCC as are used for; and
 - (ii) such DCC Personnel as carry out, or are authorised to carry out,

any activities related to its compliance with the applicable requirements of the S1SPKM Document Set.

Events of Default

L15.5 In relation to an Event of Default which consists of a material breach by the DCC of any applicable requirements of the S1SPKM Document Set, the provisions of Sections M8.2 (Notification of an Event of Default) to M8.4 (Consequences of an

Event of Default) shall apply subject to the provisions of Sections L15.6 to L15.12.

L15.6 For the purposes of Sections M8.2 to M8.4 as they apply pursuant to Section L15.5, an Event of Default shall (notwithstanding the ordinary definition thereof) be deemed to have occurred in respect of the DCC where it is in material breach of any applicable requirements of the S1SPKM Document Set (provided that Sections M8.4(e), (f) and (g) shall never apply to the DCC).

L15.7 Where in accordance with Section M8.2 the Panel receives notification that the DCC is in material breach of any applicable requirements of the S1SPKM Document Set, it shall refer the matter to the SMKI PMA. On any such referral, the SMKI PMA may investigate the matter in accordance with Section M8.3 as if the references in that Section to the “Panel” were to the “SMKI PMA”.

L15.8 Where the SMKI PMA has:

- (a) carried out an investigation in accordance with Section M8.3; or
- (b) received a report from the Independent S1SPKM Assurance Service Provider, following an assessment by it of the compliance of the DCC with the applicable requirements of the S1SPKM Document Set, concluding that the DCC has not complied with those requirements,

the SMKI PMA shall consider the information available to it and shall determine whether any non-compliance with the SMKI Document Set has occurred and, if so, whether that non-compliance constitutes an Event of Default.

L15.9 Where the SMKI PMA determines that an Event of Default has occurred, it shall:

- (a) notify the DCC and any other Party it considers may have been affected by the Event of Default; and
- (b) refer the matter to the Panel for the Panel to determine the appropriate steps to take in accordance with Section M8.4.

L15.10 Where the Panel is considering what steps to take in accordance with Section M8.4, it shall request and consider the advice of the SMKI PMA.

L15.11 Where the Panel determines that the DCC is required to give effect to a remedial action plan in accordance with Section M8.4(d) that plan must be approved by the SMKI PMA.

L15.12 Where, in accordance with Section L15.11, the SMKI PMA has approved a remedial action plan in relation to the DCC, the Panel may arrange for a version of the approved plan (or parts of that plan) to be made available to all the Parties, but only where the Panel considers that such dissemination is necessary for the purposes of security.