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Smart Energy Code Accession Guidance

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1. Purpose

The purpose of this document is to describe, and provide guidance in respect of, the accession process as set out in Section B1 of the Smart Energy Code (SEC). For ease of reference, definitions from the SEC that are used throughout this document are provided in Appendix B.

This guidance document applies to all Applicants. It defines the process for all potential Parties and for the Smart Energy Code Administrator and Secretariat (SECAS).

2. Accession Process

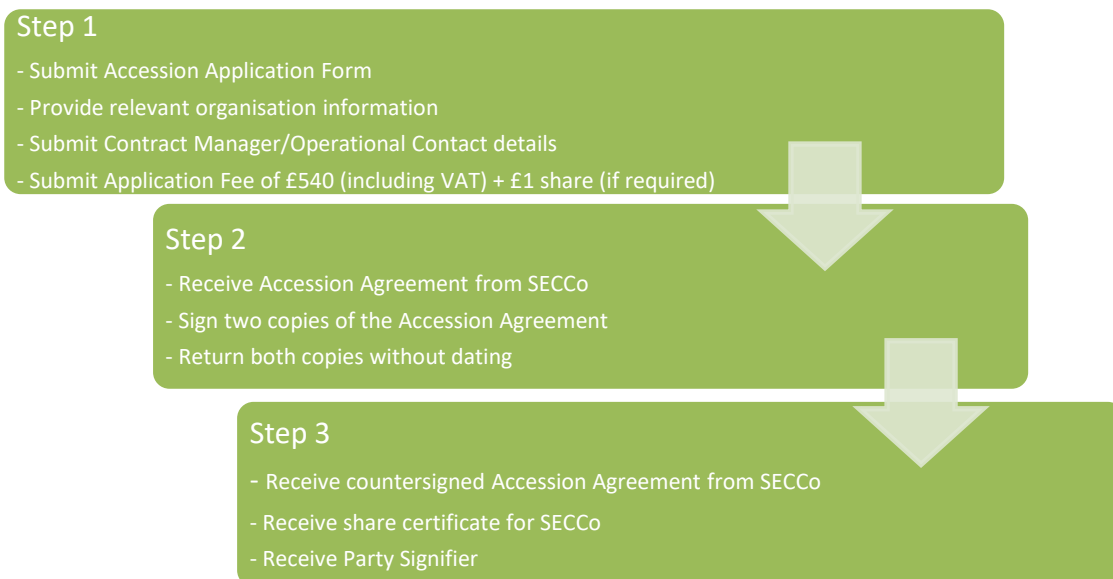
2.1 Eligibility for Admission

An Applicant may not be admitted as a Party if:

- (a) It is already a Party; or
- (b) It was expelled from the SEC in accordance with Section M8 within 12 months preceding the date of its application.

2.2 Process of SEC Accession

The SEC accession process is based on the following simple 3 stage process:



3. Application Form

To apply for accession to the SEC, the first stage is to submit an [Application Form](#) (click for link to Application Form on the SEC Website) to SECAS along with the Application Fee (see Section 4). A word version of the Application Form is also available for download [here](#).

The completed Application Form should include all the information as requested including the details of any affiliates of the Company that you wish to be bound by the Code. Please note that any affiliates listed in this section will become a Party to the Code in the Voting Group headed by the lead organisation and therefore will be bound to the obligations in the Code.

The completed Application Form should be sent to the SECAS helpdesk either by email or post:

SECAS@gemserv.com

SECAS
Gemserv Ltd
8 Fenchurch Place
London
EC3M 4AJ

3.1 Processing of Applications

On receipt of an Application Form from an Applicant, SECAS will perform checks to ensure the Applicant is eligible and ensure that the information provided in the Application Form is accurate, including:

- Confirming that the Applicant has the relevant licence in order to become a Party in the specified category
- Ensuring that where any affiliates listed in the Application Form are not current SEC Parties, confirm whether they should be bound by the obligations in the Code and therefore become Parties within a Voting Group.

If any clarification is required at this stage, SECAS will contact the named contact on the Application Form.

4. Application Fee

All Applicants are required to pay an Application Fee of £450 + VAT (£540) as determined by the SEC Panel.

The Application Fee must be received along with the Application Form before an application can proceed. If you applying to become a Smart Energy Code Company Ltd (SECCo) Shareholder (see Section 6 below) please include the payment for the share along with the Application Fee.

The Application Fee can be paid by cheque (made out to Smart Energy Code Company Ltd) sent to the SECAS team or by bank transfer with the details below:

| | |
|---------------------------|--|
| A/C Name: | Smart Energy Code Company Ltd |
| Registered Company No: | 08430267 |
| VAT Number: | 176 7713 71 |
| Address: | 8 Fenchurch Place, London, EC3M 4AJ |
| Telephone number: | 0207 090 1003 |
| Remittance Email Address: | finance@gemserv.com |
| Bank Name: | RBS |
| Bank Branch: | Great Tower Street |
| Account Number: | 11016173 |
| Sort Code: | 16-00-15 |

If you are making the payment from an international bank account please use the below details:

| | |
|------------------|------------------------|
| Account name | SMART ENERGY CODE CO |
| Sort code | 16-00-15 |
| Account Number | 11016173 |
| Currency | GBP |
| IBAN | GB47RBOS16001511016173 |
| SWIFT Code / BIC | RBOSGB2L |

5. SECCo Limited Shares

Smart Energy Code Company Limited (SECCo) has been established on behalf of the Parties as a corporate vehicle to assist the Panel in its duties, for example, by entering into contracts where necessary.

Shareholders of SECCo are limited to Eligible Parties – this means a Party which either:

- (a) holds an Energy Licence that obliges it to be a Party to this code; or
- (b) does not hold an Energy Licence but has opted to be a Shareholder in the Application Form.

An Eligible Party shall submit £1 for an ordinary share in SECCo Ltd at the time of application. A share certificate will be issued once the Accession Agreement has been executed and the SECCo Board have agreed to allot the share to the New Party.

6. Accession Agreement

When an Applicant has provided both a complete Application Form and the Application Fee, SECAS will prepare two counterparts of the Accession Agreement, including the Party Details as set out in the Schedule, and send them to the Applicant.

The Applicant and SECCo shall sign the Accession Agreement (two Directors or one Director and Company Secretary) and the accession of the New Party to the SEC will be effective from the date of its executed Accession Agreement. The individuals signing the Accession Agreement on behalf of the Applicant must be listed on Companies House, or the appropriate Company Register if the Applicant is legally registered in a jurisdiction other than the United Kingdom, as Company Officers.

6.1 Notification of Accession

On the accession of a Party to the SEC, SECAS shall give notice of each Applicant's accession to the Applicant, to each other Party and to the Authority.

The New Party will receive a hard and soft copy of the signed Accession Agreement and will also receive a welcome email.

The main contact listed on the Application Form will be added to all the relevant distribution lists so that they are able to receive all relevant SEC information. The main contact will also receive a login to the website to access sections of the website limited to SEC Parties.

7. Signifier Allocation

SEC Section B1.17 establishes that upon an Applicant acceding to the SEC, the Panel shall issue it a Party Signifier. SEC Section B2.7 sets out that the Panel shall issue Parties, the DCC and Registration Data Providers (RDPs) with EUI-64 Compliant identifiers (EUI-64 IDs) in accordance with an ID Allocation Procedure.

The ID Allocation Procedure formalises the process for allocating Party Signifiers and Identifiers, which enable communication with the DCC.

The ID Allocation Procedure establishes that an Excel Spreadsheet detailing the Party, DCC, or RDP IDs, and the corresponding Party and RDP Signifier is to be made available to the DCC and Parties. The spreadsheet is digitally signed (using open standards supported by widely available office automation software), and published on the SEC Website (discharging the obligation in Section B2.9 of the SEC).

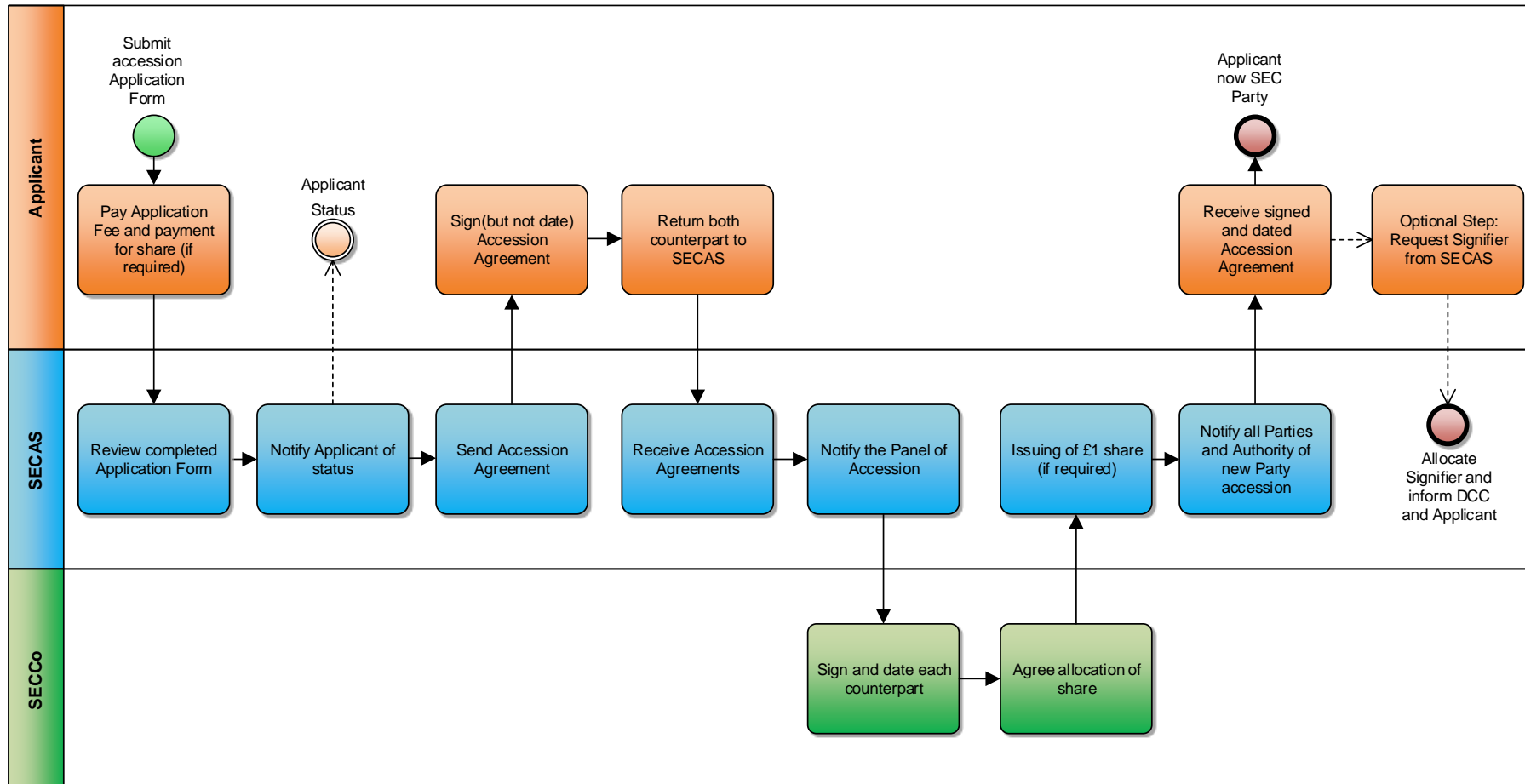
Further Guidance on EUI-64 IDs can be found on the SEC website.

8. Disputes

Where an Applicant has been disallowed accession and the Applicant disagrees with such decision, the Applicant may refer the matter to the Panel for determination (SEC B1.15).

Where an Applicant disagrees with any decision of the Panel, the Applicant may refer the matter to the Authority for its determination.

Appendix A – Workflow Diagram



Appendix B – Definitions

| | Definition |
|---------------------|---|
| Accession Agreement | means an accession agreement entered into pursuant to Section B1 (Accession) |
| Applicant | has the meaning given to that expression in Section B1.1 – Any person who applies to be admitted as a Party |
| Application Fee | has the meaning given to that expression in Section B1.5 – the Panel shall determine (and publish on the Website) a fee from time to time to be payable by Applicants to SECCo. |
| 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. |
| Code Administrator | has the meaning given to that expression in Section C7.1 of the Code |
| Eligible Party | means a Party that is not the DCC (which, for the avoidance of doubt, does not include SECCo), and which either: <ul style="list-style-type: none"> (a) holds an Energy Licence that obliges it to be a party to this Code; or (b) does not hold an Energy Licence that obliges it to be a party to this Code, but has opted (by notice in writing to the SECCo Secretary) to be a Shareholder. |
| 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. |
| Framework Agreement | means an agreement in the form set out in Schedule 1. |
| New Party | means a Party that is a Party pursuant to an Accession Agreement |
| Original Party | means a Party that is a Party pursuant to the Framework Agreement |
| 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 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. |
| SEC Panel | means the body established in accordance with Section C2.1 |
| 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. |