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SECAS Guidance Notes: DCC User Entry Process

Introduction

This document provides guidance on how to complete the User Entry Process (UEP) which is set out in Smart Energy Code (SEC) Section H1. All SEC Parties wishing to become a DCC User and use the services provided by the DCC User Interface must complete the UEP.

Useful link: The DCC's Interactive Guide shows all of the DCC steps required to become a DCC User. Other useful documents and webpages can be found at the end of this document.

Who can complete the User Entry Process?

All SEC Parties are eligible to complete the UEP to become DCC Users. Certain Ofgem licence holders are obligated to become DCC Users **for each licence they hold.** Gas Transporters are not required to become DCC Users:

Ofgem Licence Holders	Licence Condition	
	Must become a DCC User	**Exempt from becoming DCC User**
Electricity Supplier	• If a Party is a Domestic Supplier. • Set out in SLC Section C Condition 48.	• If the Party is a **Non-Domestic** Supplier and one or more clauses of Section C Condition 39 apply: 39.3, 39.4, 39,5, 39.6, 39.10, 39.11, 39.12, 39.13; • If the Party only installs Current Transformer Electricity Meters or Advanced Meters at Designated Premises (non-domestic premises at which a metering point falls within profile class 1, 2, 3 or 4 as defined in the Balancing and Settlement Code (BSC)). • Exemption set out in Section C Condition 48.9
Gas Supplier	• If a Party is a Domestic Supplier. • Set out in SLC Section C Condition 42.	• If the Party is a **Non-Domestic** Supplier and one or more clauses of Section C Condition 33 apply: 33.3, 33.4, 33.5, 33.6, 33.10, 33.11, 33.12, 33.13; • If the Party only installs Large Gas Meters or Advanced Meters at Designated Premises (non-domestic premises at which the measured annual consumption of gas is 732,000 kWh or less). • Exemption set out in Section C Condition 42.9
Electricity Distributor	• Parties who are Distribution Service Providers. • Set out in SLC Section A Condition 21A.	• Parties who are not a **Distribution Service Provider**. • Set out in Section A Conditions 21A.5
Gas Transporter	N/A	N/A

Table 1: Those who are obligated to become a DCC User, and those who are exempt.

SECAS Guidance Notes: DCC User Entry Process
April 2021
Version 2.0

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Page 1 of 6

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Those who do not hold Ofgem licences can choose to become DCC Users. This will allow the use of DCC Services, including the ability to obtain the history of a customer's consumption or tariff details, subject to the **customer's consent**.

Once you become a DCC User, DCC Services are available via Service Requests Variants (SRVs) which enables a Party to communicate with Devices. These are all described in SEC Appendix E. Further information regarding these SRVs is found in SEC Appendix AD.

When can you begin the UEP?

You can begin the UEP once your organisation becomes a SEC Party. If your Party is currently in Controlled Market Entry (CME), you may begin the UEP process, although you are not obligated to. Ofgem provides more information regarding CME here.

Apply for the correct User Roles

DCC Users are defined by their User Role. The User Role(s) that you will apply for will depend on the Ofgem licence(s) you hold. Those who do not hold Ofgem licences can complete the UEP as either Other Users or Registered Supplier Agents. The User Roles are as follows:

- Import Supplier (electricity) - Supplier that sells electricity to a consumer.
- Export Supplier (electricity) - Supplier purchasing electricity (e.g. through Feed in Tariff).
- Gas Supplier - Supplier that sells gas to a consumer.
- Electricity Distributor - Network that transports electricity.
- Gas Transporter - Network that transports gas.
- Registered Supplier Agent - Party that wishes to conduct DCC services for Suppliers on their behalf.
- Other User - Any Party that does not match the above descriptions.

How to complete the UEP

You will work with SECAS and the DCC to complete the UEP. Both organisations will guide you through the various steps.

You can complete the steps with the DCC and SECAS at the same time.

Steps to complete with the DCC	Steps to complete with SECAS
1. Obtain a DCC Gateway Connection.	1. Complete the Full User Security Assessment (FUSA).
2. Build or buy a DCC User Interface.	2. Complete Privacy Assessment (only for **Other Users**).
3. Go through the Smart Metering Key Infrastructure (SMKI) Registration Authority Policies and Procedures (RAPPs).	3. Once you have completed the required DCC and SECAS steps, you'll need to fill in a UEP Evidence Form and send it to the SECAS Helpdesk.
4. Complete SMKI Repository Entry Process Testing (SREPT).	
5. Go through the DCC Key Infrastructure (DCCKI) RAPPS.	
6. Complete User Entry Process Testing (UEPT) for each applied User Role.	
7. DCC to confirm if the IDs from your Party EUI-64 Allocation range are accepted for each applied User Role.	
8. DCC to confirm if Credit Cover is required.	

Table 2: Steps to be completed with SECAS and the DCC.

Steps to complete with the DCC

If you have any questions regarding the required DCC steps below, please contact the DCC Service Centre. The DCC hosts an Interactive Guide here.

1. Obtain a DCC Gateway Connection

To obtain a DCC Gateway Connection, you will need to sign up to the DCC SharePoint here. Once you have gained access to the DCC SharePoint, you can download the DCC Gateway Connection order form and associated guidance here. Please refer to SEC Section H15.4 for more information. For any queries regarding the DCC SharePoint, please contact the DCC Service Centre above.

2. Build or Buy a DCC User Interface

All DCC Users will be required to use the DCC User Interface. The User Interface allows Users to interact with Devices. To do this, you must either build your own User Interface (aligning with the clauses in SEC Appendix AD that are applicable to your applied User Role(s)) or buy a User Interface from a third Party who has already created the software.

Your User Interface must be in place before you can start User Entry Process Testing (UEPT).

3. Go through the Smart Metering Key Infrastructure (SMKI) Registration Authority Policies and Procedures (RAPPs)

The SMKI enables you to support secure end-to-end communications with Devices. Once you have built / bought a DCC User Interface, the DCC will provide you with SMKI RAPP forms which you'll need to fill out, sign and send back to the DCC.

4. Complete the SMKI Repository Entry Process Testing (SREPT)

You will need to complete the SREPT to become an Authorised Subscriber for the purpose of DCC Certificate Policies and to access the SMKI Repository.

You must first complete the Party Notification of Intention to Undertake Testing form, which is downloaded from the DCC SharePoint, and then send the form to testing.notices@smartdcc.co.uk. This will inform the DCC that you wish to start testing.

5. Go through the DCC Key Infrastructure (DCCKI) RAPPs

Once you complete the SREPT, the DCC will help you to go through the DCCKI RAPPs. The DCCKI provides you with the ability to establish secure connections to the DCC User Gateway and Registration Data Interface.

6. Complete the User Entry Process Testing (UEPT) for each User Role

The UEPT process is set out in SEC Appendix R - Common Test Scenarios Document (CTSD) 5 and includes the following:

- Install and Commission - to test your ability to install and commission Devices;
- DUIS Service Requests - to test your ability to process Service Requests relevant to your applied User Role(s); and
- Self-Service Interface (SSI) - to test your ability to access the SSI and process Alerts and Response Codes.

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April 2021
Version 2.0

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Page 3 of 6

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6.1 UEPT Timing and Costs

Once you have completed the SREPT, you must provide **60 Working Days (WDs) notice** to the DCC when choosing a date to commence the UEPT. There are no costs associated with the UEPT.

6.2 Criteria to follow to begin the UEPT

To undertake the UEPT, you must comply with the following criteria:

- Obtain verification from the DCC that you are a SEC Party and have completed the SREPT;
- Identify the User Role(s) that you wish to undertake UEPT;
- Produce all relevant test artefacts (CTSD 5.6.1.5) and have these approved by the DCC;
- Provide evidence that a test environment capable of supporting the planned testing has been established and is available;
- Provide evidence that the appropriate level of resources is available to support the UEPT process; and
- Meet the security requirements set out in SEC Appendix J: Enduring Testing Approach Document (ETAD).

6.3 UEPT Completion

The following three steps which are set out in in SEC Appendix R CTSD 5.17 must be undertaken once the DCC or approved Relevant Party (a SEC Party which is an authorised DCC Testing Provider) has completed testing:

- Within **2 WDs** of receipt of your UEPT Completion report, the DCC must confirm receipt;
- Within **5 WDs** of receipt of the above notification, the DCC must review the report and confirm to you if the UEPT is concluded, or if further testing is required; and
- Within **2 WDs** of a successful Quality Gate Review meeting, the DCC must issue you with a Test Completion Certificate for your applied User Role(s).

Once the above criteria have been met, you will have completed the UEPT. For further details of the UEPT Exit Criteria, please see CTSD 5.19.

7. DCC to confirm if your EUI-64 IDs are accepted for each User Role

You will need to inform the DCC of the User IDs that you would like to use for each User Role that you wish to operate in. Once you have completed the UEPT, the DCC will provide you with an ID Acceptance Request form where you can choose the ID(s) for your applied User Role(s).

You will obtain an EUI-64 Compliant Identifier range once you become a SEC Party. These ID numbers can be found in the ID Allocation spreadsheet (accessed once you have logged in).

The same User ID can be used for the User Roles of Import Supplier, Export Supplier and Gas Supplier.

8. DCC to confirm if Credit Cover is required

If your Credit Cover Requirement is above the current Credit Cover Threshold, you are required to put in place a form of Credit Cover in accordance with SEC Section J3 (a Bank Guarantee, a letter of credit and / or a Cash Deposit). Once you have completed the UEPT, the DCC will notify you if you are required to provide Credit Cover.

SECAS Guidance Notes: DCC User Entry Process
April 2021
Version 2.0

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Page 4 of 6

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Steps to take with SECAS

The Security team at SECAS are available for you to discuss your Privacy and Security Assessments. You can contact them on SSC@gemserv.com. The steps below provide a helpful guide for how each process works.

1. Complete the Full User Security Assessment

All SEC Parties are required to complete a Full User Security Assessment (FUSA) as part of the UEP. You will need to undertake this Security Assessment to have access to DCC Systems. You can book your FUSA by using the online Booking Form once you become a SEC Party.

The estimated timescales for the FUSA are here. There is a **12-week advance notice period** and the duration of the FUSA will depend on the system being assessed and how prepared you are for it.

You will be assessed by the User Competent Independent Organisation (CIO), Deloitte, who has been appointed by the SEC Panel to undertake security assessments on its behalf.

The assessment type and cycle vary by User Role in both their approach and coverage of SEC obligations.

Links to Security Controls Framework (SCF) Part 1: User Assessment Methodology and Part 2: User Assessment Guidance can be found at the end of this document. These documents will support and guide you throughout your FUSA. An overview of the Security Assessment process is below:
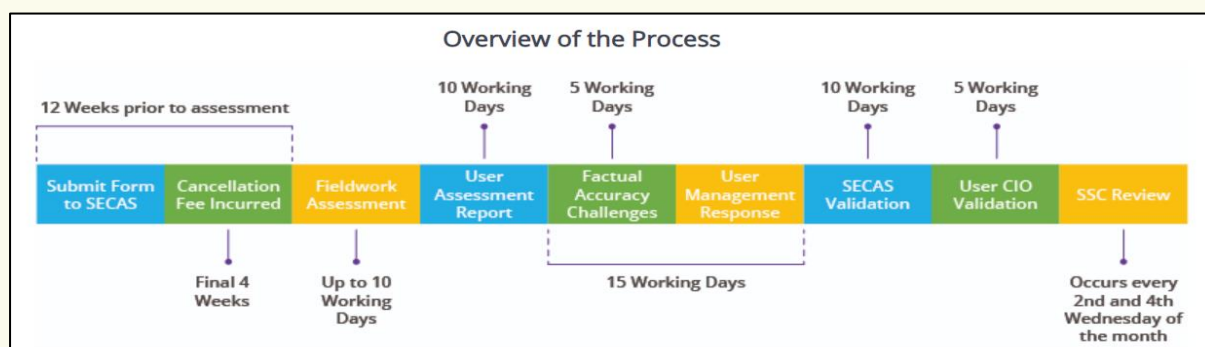
There are several materials including the current Rate Card and Director's Letter Guidance which will help your understanding of the assessment process. These can be found in the documents section of the Security Assessments webpage.

Once you have completed your FUSA, the Security Sub-Committee (SSC) must provide you with a status of either **Approved** or **Approved, subject to steps** in order for you to complete the UEP.

For security purposes, there is also an **optional assessment** known as the Optional Pre-Assessment (OPA) that you may wish to consider having.

2. How do Other Users complete the Privacy Assessment?

If you wish to operate in the **Other User** role, you are required to complete both a FUSA and a Privacy Assessment.

The Privacy Assessment is carried out by the same User CIO as the Security Assessment, Deloitte. You can book your assessment here. You should provide **12 weeks' notice**, and the Security and Privacy Assessments can **be performed in parallel**.

The estimated timescales for the Privacy Assessment are here. The duration of the assessment will depend on the system being assessed and how prepared you are for it.

The link to the Privacy Controls Framework (PCF) will guide you through the process, and you can find it at the end of this document. The Privacy Assessment webpage provides useful documents such as the current Rate Card and Privacy Validation Workbook.

Once you have completed your Privacy Assessment, the SSC must provide you with a status of either **Approved** or **Approved, subject to steps** for you to complete the UEP.

The SEC recommends that you also complete an **optional** Privacy Impact Assessment.

How do you inform SECAS of your UEP Completion?

Once you have completed all the required steps with the DCC and SECAS above, you will need to fill out and send a UEP Evidence Form to the SECAS Helpdesk and attach all the required evidence to the email. The evidence required is explained in the UEP Evidence Form.

Once SECAS has reviewed and verified the evidence, SECAS will notify you, the DCC, Ofgem and the SEC Panel that you have successfully completed the UEP for the relevant User Role(s).

Useful Links

Useful documents and webpages to help you complete the UEP can be found below:

- UEP webpage
- ID Allocation webpage
- DCC's Interactive Guide
- User Roles
- DCC Service Centre
- DCC User Interface
- SREPT
- UEPT
- SEC Appendix AD

- SEC Appendix E
- SEC Section H1
- SEC Appendix R: CTSD
- SEC Appendix J: ETAD
- Security Assessment webpage
- SCF Part 1 and Part 2
- Privacy Assessment webpage
- PCF

If you have any questions or would like further information, please either call 020 7090 7755 or email the SECAS Helpdesk.

SECAS Guidance Notes: DCC User Entry Process
April 2021
Version 2.0

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Page 6 of 6

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