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Technical Architecture and Business Architecture Sub-Committee

Terms of Reference (ToR) Version 2.1

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

1. Definitions

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

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.
End-to-End Technical Architecture	means the DCC Systems and the Smart Metering Systems together, including as documented in the Technical Code Specifications.
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 DCC Gateway Connection Code of Connection, the DCC User Interface Code of Connection, the DCC User Interface Specification, the Self-Service Interface Design Specification, 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 Panel Release Management Policy, the Smart Meter Key Infrastructure (SMKI) Interface Design Specification, the SMKI Code of Connection, the SMKI Repository Interface Design Specification and the SMKI Repository Code of Connection.
Technical Specification	means each of the Communications Hub Technical Specification (CHTS) and the Smart Metering Equipment Technical Specification (SMETS).

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

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

The prescribed duties and powers of the TABASC are set out in SEC Section F1.4 – F1.5 (included as Appendix 1) and are summarised below:

- Provide support and advice in respect of Modification Proposals that affect or are likely to require change to the Technical Code Specifications, the End-to-End Technical Architecture and/or the Business Architecture;
- Provide any information requested by the Authority regarding the technical aspects of any Notification;
- Provide the Panel with support and advice in respect of Disputes relating to Technical Code Specifications (or other parts of this Code that affect the End-to-End Technical Architecture and/or the Business Architecture);
- Review and report to the Panel on the effectiveness of the End-to-End Technical Architecture;
- Review and report to the Panel on the effectiveness of the Business Architecture;
- Review and report to the Authority and the Panel on the effectiveness of the Home Area Network (HAN) Requirements;
- Support the Panel in any technical and business architecture aspects of the annual report;
- Develop and maintain the Technical Architecture Document;
- Develop and maintain the Business Architecture Document;
- Provide the Panel with support and advice in respect of any other matter concerned with the End-to-End Technical Architecture and/or the Business Architecture;
- Liaise with, provide advice to, and seek advice of the Alt HAN Forum on matters that relate to the End-to-End Technical Architecture and/or the Business Architecture;
- Perform any other duties expressly ascribed to the Technical Architecture and Business Architecture Sub-Committee elsewhere in the Code;
- Establish a process whereby the Code Administrator monitors Modification Proposals and identify any proposals that are likely to affect the End-to-End Technical Architecture and/or the Business Architecture; and
- Act in cooperation with, and send a representative to, the SMKI Policy Management Authority (PMA)¹ and any other Sub-Committee or Working Group which requests the support or attendance of the Technical Architecture and Business Architecture Sub-Committee.

3. Out of Scope

The role of the TABASC does not include the following:

- a) Functions outside of those listed above unless otherwise directed by the Panel.
- b) Activities that do not contribute to the achievement of SEC objectives.

¹ Smart Metering Key Infrastructure Policy Management Authority

- c) Setting policies that fall under the remit of the Panel or another Sub-Committee.

4. Proceedings of the TABASC

4.1 Meetings

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

4.2 Quorum

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

4.3 Meeting Notice and Papers

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

The notice of each meeting shall be accompanied by:

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

4.4 TABASC Chair

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

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

- a) the selection does not preclude the Panel Chair fulfilling this role;
- b) the candidate selected is regarded by the Panel as having suitable experience and expertise to discharge their duties as the TABASC Chair; and
- c) the candidate has declared any relationships or shareholdings with individuals or organisations that might be perceived to create a conflict of interest and, in light of such declarations, the SEC Panel believes that the candidate will be able to act in a sufficiently independent manner in their role as the TABASC Chair.

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

4.5 Powers and Voting

In accordance with C6.9 of the SEC:

- each TABASC Member shall be entitled to attend, and to speak and vote at, every meeting of the TABASC;

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

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

4.6 Membership

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

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

Members may propose another natural person to act as their Alternate by completing the necessary paperwork and notifying SECAS. The alternate, once approved, may attend the TABASC and must act in the capacity as alternate to discharge the member's duties. The alternate must complete the declaration as described in SEC C3.8 (a) and (c) prior to voting.

4.6.1 Composition

The voting TABASC Members shall be as follows:

- 6 Members from the Large Supplier Party Category;
- 2 Members from the Small Supplier Party Category;
- 1 Member from Gas Networks;
- 1 Member from Electricity Networks; and
- 2 Members from the Other SEC Party Category.

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

4.6.2 Term of Office

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

4.6.3 Other Interested Parties

In addition to the core TABASC members, the TABASC Chair is entitled to invite any persons the TABASC determines it appropriate to do so. It is envisaged that any such persons will be able to provide the TABASC with expert advice on technical matters.

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

4.6.4 Member Confirmation

Before a person may serve on the TABASC, that person shall provide written confirmation to SECCo that:

- They agree to serve on the TABASC in accordance with the SEC; and
- They will be available as reasonably required by the Sub-Committee to attend meetings and undertake work outside of the meetings.

4.6.5 Conflict of Interest

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

5. Deliverables

The TABASC will be expected to provide recommendations to the SEC Panel regarding the duties listed. The TABASC will be expected to conduct business in accordance with good governance.

6. Secretariat

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

- Prepare and maintain the TABASC Member Pack (code of conduct and expenses policy);
- Timetable and organise the TABASC meetings, including meeting rooms;
- Act as quality gatekeeper with the Chair for accepting papers;
- Circulate agendas and papers for consideration at TABASC meetings, 5 Working Days in advance of that meeting date;
- Monitor the quorum prior to meetings to ensure that decision matters are not frustrated or deferred;
- Circulate minutes of the meeting five working days after the meeting for the TABASC's approval;
- Administer the circulation list for TABASC papers and Minutes;
- Manage the TABASC decisions, actions and risks log;
- Manage the TABASC section of the SEC website; and
- Support the operation of the TABASC and the fulfilment of its duties through:
 - Co-ordination, and where directed by the TABASC undertaking, all inputs, analyses, assessments and consultations required to support the TABASC business;
 - Preparation of the draft TABASC input to the Panel's annual report (July) SEC 2.3(h) for the TABASC's approval; and
 - The co-ordination of the TABASC's role in the SEC Modifications Process through the relevant SECAS Modification lead(s) to ensure a holistic and efficient process exists between the TABASC and the Change Board.

7. Confidentiality and Disclosure

Given the potential sensitive nature of work of the TABASC, agenda items, papers and discussions will be assigned an information sharing level of either WHITE, GREEN, AMBER or RED.

Information sharing levels will be suggested by participants when providing information, and determined by the Chair. The following classifications will be used:

Classification	
RED	<p>Non-disclosable information and restricted to participants present at the meeting themselves only. Participants must not disseminate the information outside of the meeting. RED information may only be discussed during a meeting where all participants present have signed a declaration form, stating their acceptance to abide by these ToR. RED information should not be discussed with anyone who is not present at the meeting in which the information is discussed. Agenda items marked as RED will be discussed in a closed, confidential session and discussions will only be included in the minutes which will also be classified as RED.</p>
AMBER	<p>Limited disclosure and restricted to TABASC Members and those who have a need to know in order to take action. TABASC Members representing a Party Category may share the information with other organisations within that Party Category.</p> <p>Where information is deemed to be relevant to organisations who are not represented at the TABASC, the TABASC Chair may direct that the Code Administrator provide this information to a wider group of SMIP stakeholders.</p> <p>Agenda items marked as AMBER will be discussed in a closed, confidential session and discussions will only be included in the confidential minutes.</p>
GREEN	<p>Information can be shared with other SEC Parties and SMIP stakeholders² at large, but not published (including publication online). “Green” will be the default classification for any discussions unless otherwise notified.</p> <p>Agenda items marked as GREEN will be included in the non-confidential minutes.</p>
WHITE	<p>Information that is for public, unrestricted dissemination, publication, web-posting or broadcast. Any member may publish the information, subject to copyright.</p> <p>Agenda items marked as WHITE will be included in the non-confidential minutes.</p>

As a TABASC Member, each participant will be asked to undertake in writing to abide by the confidentiality and disclosure provisions in relation to each information sharing level as described above, by signing the Confidentiality and Disclosure Agreement at Appendix B to these Terms of Reference.

² For example: device manufacturers, smart metering network security, information assurance or Critical National Infrastructure (CNI) community.

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

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

8. Review

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

APPENDIX A

Duties of the Technical Architecture and Business Architecture Sub-Committee

F1.4 The Technical Architecture and Business Architecture Sub-Committee shall undertake the following duties on behalf of the Panel:

- (a) to provide the Panel, the Change Board and Working Groups with technical and business architecture support and advice in respect of Modification Proposals that provide for variations to the Technical Code Specifications (or variations to other parts of this Code that affect the End-to-End Technical Architecture and/or the Business Architecture);
- (b) to provide the Panel, the Change Board and Working Groups with technical and business architecture support and advice in respect of Modification Proposals that are identified as likely (if approved) to require changes to the End-to-End Technical Architecture and/or the Business Architecture;
- (c) to provide the Authority (on request) with such information as the Authority may request regarding the technical aspects of any Notification (or potential Notification);
- (d) to provide the Panel with technical and business architecture support and advice in respect of Disputes for which the Panel is required to make a determination, insofar as such Disputes relate to the Technical Code Specifications (or other parts of this Code that affect the End-to-End Technical Architecture and/or the Business Architecture);
- (e) to review (where directed to do so by the Panel) the effectiveness of the End-to-End Technical Architecture (including so as to evaluate whether the Technical Code Specifications continue to meet the SEC Objectives), and report to the Panel on the outcome of such review (such report to include any recommendations for action that the Technical Architecture and Business Architecture Sub-Committee considers appropriate);
- (f) to review (where directed to do so by the Panel) the effectiveness of the Business Architecture (including their assessment against the SEC Objectives), in consultation with Parties and Competent Authorities (but without engaging directly with Energy Consumers), and report to the Panel on the outcome of such review (such report to include any recommendations for action that the Technical Architecture and Business Architecture Sub-Committee considers appropriate);
- (g) to review (where directed to do so by the Panel) the effectiveness of the HAN Requirements (including their assessment against the SEC Objectives), in consultation with Parties and Competent Authorities (but without engaging directly with Energy Consumers), and report to the Authority and the Panel on the outcome of such review;

- (h) to support the Panel in the technical and business architecture aspects of the annual report which the Panel is required to prepare and publish under Section C2.3(h) (Panel Duties);
- (i) to develop and thereafter maintain the Technical Architecture Document and the Business Architecture Document, and arrange for their publication on the Website;
- (j) to provide the Panel with support and advice in respect of any other matter (not expressly referred to in this Section F1.4) which is concerned with the End-to-End Technical Architecture and/or the Business Architecture,
- (k) (to the extent to which it reasonably considers that it is necessary to do so) to liaise and exchange information with, provide advice to, and seek the advice of the Alt HAN Forum on matters that relate to the End-to-End Technical Architecture and/or the Business Architecture; and
- (l) to perform any other duties expressly ascribed to the Technical Architecture and Business Architecture Sub-Committee elsewhere in this Code.

F1.5 In undertaking its duties under Section F1.4(e) to (g), the Technical Architecture and Business Architecture Sub-Committee shall not review the Alt HAN Arrangements but may have regard to any impact of the provision of Alt HAN Services on the End-to-End Technical Architecture and/or the Business Architecture.

F1.6 The Technical Architecture and Business Architecture Sub-Committee shall establish a process whereby the Code Administrator monitors Modification Proposals with a view to identifying (and bringing to the Technical Architecture and Business Architecture Sub-Committee's attention) those proposals that are likely to affect the End-to-End Technical Architecture and/or the Business Architecture. The Code Administrator shall comply with such process.

F1.7 The Panel shall make each report produced pursuant to Section F1.4 available to the Parties, subject to any redactions it considers necessary to avoid a risk of Compromise to the DCC Total System, User Systems, RDP Systems and/or Devices.

APPENDIX B

Confidentiality and Disclosure Agreement

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

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

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

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

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

Name:

SEC Party Category:

Primary/Alternative Participant:

Signature:

Date:

Terms of Reference

Dated: