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SEC Disputes and Appeals Route Table – v2.2

SEC Section	SEC reference	Section status	Notes	Relating to	Who can raise a Dispute or an appeal	Dispute/Appeal to	Escalation
Section B: Accession	B1.15- B1.16	In effect		Rejection of an Accession Application by the Code Administrator	Applicant	Panel	Authority
Section C: Governance	C4.2	In effect		The eligibility of candidates for Election of Panel members	Panel candidates	Panel Chair	None
	C8.14	In effect		The Approved Panel Budget	Any Party or Citizens Advice/Citizens Advice Scotland	Authority	None
Section D: Modification Process	D4.2	In effect		The Panel rejecting or making alterations to a Modification Proposal	The Proposer	Authority	None

SEC Section	SEC reference	Section status	Notes	Relating to	Who can raise a Dispute or an appeal	Dispute/Appeal to	Escalation
	D9.4	In effect		Change Board approving a Path 3 Modification Proposal	Parties	Panel	Authority
	D9.5 (d)	In effect		Panel approving a Fast-Track Modification	Parties	Authority	None
Section E: Registration Data	E2.18	In effect		Disputes regarding compliance with Section E2 'Provision of Data' ¹	Parties	Panel	None
	E3.11	In effect		RDP disputing the outcome of its request for a DCC Gateway Connection	RDP	Panel	Authority
	E4.7	In effect		Successful completion of RDP Entry Process Tests	RDP	Panel	Authority
Section F: Smart Metering	F3.1 – F3.8	In effect		The Smart Metering Equipment Technical Specifications (SMETS)/Communications Hub Technical	Parties	Panel	Authority

¹ With the exception of Section E2.14 which is subject to the means of Dispute resolution applying to Section G provisions.

SEC Section	SEC reference	Section status	Notes	Relating to	Who can raise a Dispute or an appeal	Dispute/Appeal to	Escalation
System requirements				Specification (CHTS) compliance of a Device			
	F9.14	In effect		Objecting to the DCCs assessment of Communication Hub fault	Parties	Panel	None
	F10.14	In effect		Disagreement on DCC's justification in respect of not providing Test Communication Hub variants	Parties	Panel	Authority
Section G: Security	G1.4	In effect		The effective dates of alterations made to applicable Security standards, procedures or guidelines as defined in Section G	DCC or any User	Authority	None
	G1.8 – G1.9	In effect		Compliance of a User to any of its obligations under Sections G3-G6 obligations	Parties or any User	Panel	Authority

SEC Section	SEC reference	Section status	Notes	Relating to	Who can raise a Dispute or an appeal	Dispute/Appeal to	Escalation
	G7.11A	In effect		Rejection of a candidate nomination	Candidate	Panel	None
	G8.39	In effect		Setting of a Party's User Security Assurance status ²	Parties	Authority	None
Section H: DCC Services	H1.13(e) – H1.14	In effect		Dispute in relation to H1.10 (a) of the User Entry Process	Parties	Panel	Authority
	H7.17	Inactive	It is anticipated that the provisions transitional variations relating to Elective Communication Services will be lifted in October 2018	Disputes regarding Offers for Elective Communication Services	Parties	Authority	None
	H9.16	In effect		Disputes in regard to the DCC or Incident Parties' Incident and Problem management	Incident Parties and DCC	Panel	None

² The SEC Panel has delegated the G8.36 responsibility to set Party Assurance statuses to the Security Sub-Committee. In practice, therefore, any dispute should be raised with the Panel prior to Authority appeal.

SEC Section	SEC reference	Section status	Notes	Relating to	Who can raise a Dispute or an appeal	Dispute/Appeal to	Escalation
	H10.8	In effect		Dispute regarding a Panel decision on the Emergency Suspension of Services	Directly affected Parties, RDPs and the DCC	Authority	None
	H11.10	In effect		The DCC's chosen Application Servers for the provision of Parse and Correlate software	User	Panel	None
	H12.7	In effect		DCC report following a consultation on the the Intimate Communications Hub Interface (ICHIS)	Parties	Authority	None
	H14.4	In effect		Disputes on the order which persons are allowed to undertake Testing Services	Testing Participants	Panel	Authority
	H14.10A	In effect		Dispute regarding the removal of a Testing Participants Device from a DCC test lab, or right to re-commence testing	Testing Participant	Panel	None

SEC Section	SEC reference	Section status	Notes	Relating to	Who can raise a Dispute or an appeal	Dispute/Appeal to	Escalation
	H14.16	In effect		DCC not satisfied that a Party has met entry requirements for a particular User Role	Parties	Panel	Authority
	H14.17	In effect		Disputes regarding the approval of test scripts for User Entry process	Testing Participant	Panel	None
	H14.18A	In effect		Dispute in regards to the suspension of testing as part of User Entry Process Testing (UEPT)	DCC or that Party	Panel	Authority
	H14.21	In effect		DCC not satisfied that a Party has completed UEPT for a particular User Role	That Party	Panel	Authority
	H14.25	In effect		DCC not satisfied that a Party has met entry requirements for SMKI and Repository Entry Process Testing (SREPT)	Testing Participant	Panel	Authority
	H14.26	In effect		Disputes over the approval of Smart	Testing Participant	Panel	None

SEC Section	SEC reference	Section status	Notes	Relating to	Who can raise a Dispute or an appeal	Dispute/Appeal to	Escalation
				Metering Key Infrastructure (SMKI) and Repository Entry Process Tests scripts	arty or DCC		
	H14.27A			Disputes over the suspension of SREPT	DCC, Testing Participant	Panel	Authority
	H14.30			DCC not satisfied that a Party has completed SREPT	Testing Participant	Panel	Authority
	H14.32(c)			Disputes over the DCC's assessment on Device and User Systems Tests	Parties	Panel	None
	H14.412	In effect		Disputes over the DCC's assessment on Device and User Systems Tests Dispute over the Testing Participants dissatisfied with DCC's determinations of Testing Issues, or the speed of the determination made	Testing Participants	PanelDCC	See 14.42 (below) Panel may refer the matter to the SoS if they believe it relates to Section T
	H14.42			Testing Participant	Panel	None	

SEC Section	SEC reference	Section status	Notes	Relating to	Who can raise a Dispute or an appeal	Dispute/Appeal to	Escalation
	H15.29			Testing Participant disagrees with the DCC's determination on the Testing Issues	DCC Gateway Party (or the DCC if referring the Panel decision to the Authority)	Panel	Authority
	I2.364	In effect	Section H15 activated by SoS on 26 th January 2015	DCC Gateway Parties request for a DCC Gateway Connection or alterations to an existing connection	Parties	Authority	None
	J2.4(e)	In effect	Not applicable until Privacy Assessment Reports are produced	Panel's setting of a Party's privacy assurance status	That Party (or DCC if referring Panel decision to the Authority or Arbitration) Parties	Panel	Authority or M7 Arbitration, dependant on nature of dispute. See below J2.5 (Authority)
Section I: Data Privacy	J2.5	In effect	N/A	Parties disputing an invoice from the DCC	DCC, Parties	Authority	None
Section J: Charges	J2.7	In effect		Dispute on the calculations of charges from the DCC Charging	Any Party	Authority	None

SEC Section	SEC reference	Section status	Notes	Relating to	Who can raise a Dispute or an appeal	Dispute/Appeal to	Escalation
				Methodology and the Charging Statement			
	J3.15	In effect	N/A	Where a Party has defaulted, Panel's determination to cease pursuing payment	Parties	Panel	None
	L2.16	In effect	N/A	Parties disputing the amount of Credit Support offered by the DCC	Any Party affected by SMKI PMA taking steps under Section L2.14	Authority	None
	L3.8	In effect	N/A	The SMKI PMA deciding to instruct the DCC to wholly or partially suspend SMKI services or the rights of any SMKI Participant to receive SMKI Services	Parties, RDP	Panel	None
Section L: Smart	L10.24	In effect		Dispute over the criteria to become an Authorised Subscriber	DCC	Panel	None

SEC Section	SEC reference	Section status	Notes	Relating to	Who can raise a Dispute or an appeal	Dispute/Appeal to	Escalation
Metering Key Infrastructure	M4.16	In effect		The DCC question the evidence of Recovery Costs, includes the date and payments	Parties	Arbitrator (M7 Arbitration)	None (unless there are irregularities in arbitration process)
	M7.2	In effect	N/A	DCC's classification of a type of Data as "controlled"	Parties, RDP, DCC	Authority	None
Section M: General	M7.3	In effect		Dispute under the SEC Code or in the Electricity Act or the Gas Act or in the Energy Licences	Parties, RDP, DCC	Authority	subject to final determination by Authority, as set out in Section M7.4
	M7.5	In effect		Any Dispute of a nature expressly stated in this Code or a Bilateral Agreement	Parties	Arbitrator (M7 Arbitration)	None (unless there are irregularities in arbitration process)
	M8.12	In effect		Subject to Sections M7.2, M7.3 and M7.4, any Dispute shall be subject to determination by	That Party	Authority	None

SEC Section	SEC reference	Section status	Notes	Relating to	Who can raise a Dispute or an appeal	Dispute/Appeal to	Escalation
				arbitration in accordance with Section M7.6 (subject to Section M7.13)			
	N2.7	In effect	N/A	Panel's decision to suspend or expel a Party from the SEC	That Party	Panel	Authority
	N3.14	In effect		Where an Energy Meter purported to be a SMETS1 Meter in the view of the Party is not a SMETS1 Meter	Supplier Party	SoS	None
Section N: SMETS1 Meters	T1.3	In effect		DCC decisions on the scope of the Initial Enrolment project	Parties or Manufacturers	Panel	Secretary of State (in light of November 2014/May 2015 directions)**
	T1.7	In effect		De-selection of a Device Model to be used in testing, as per the DSM	Parties or Manufacturers	Secretary of State (in light of November 2014/May 2015 directions)**	None

SEC Section	SEC reference	Section status	Notes	Relating to	Who can raise a Dispute or an appeal	Dispute/Appeal to	Escalation
Section T: Testing During Transition	T1.10	In effect		Suitability of the Device Selection Methodology	Party and Manufacturers	Panel	SoS or an individual selected by SoS (in light of November 2014/May 2015 directions)**
	T2.10	In effect		DCC compliance with Device Selection Methodology	The DCC and RDPs	SoS or an individual selected by SoS (in light of November 2014/May 2015 directions)**	None
	T2.14	In effect		Panel's decision to approve the Systems Integration Testing (SIT) Approach document	The DCC or affected RDPs	Panel	SoS or an individual selected by SoS (in light of November 2014/May 2015 directions)**

SEC Section	SEC reference	Section status	Notes	Relating to	Who can raise a Dispute or an appeal	Dispute/Appeal to	Escalation
	T3.12	In effect		Disagreement between the DCC and RDPs on whether SIT entry criteria have been met	PersonsThe DCC, Parties, RDP	Authority - (or SoS Intervention (within the 14 days after notification by the Panel)	None
	T3.16	In effect		Panel's approval of the Interface Testing Approach Document	That Party	Panel (14 days of the DCC notifying its assessment to that Party)	Authority (or SoS Intervention)
	T3.22	In effect		Disagreement between the DCC and a Party on whether UEPT entry criteria have been met	That Party	Panel	Authority (or SoS Intervention)
	T4.8	In effect		Disagreement between the DCC and a Party on whether the Party has completed UEPT	The DCC and Parties	Authority - or SoS Intervention (within the 14 days after notification by the Panel)Authority	None

SEC Section	SEC reference	Section status	Notes	Relating to	Who can raise a Dispute or an appeal	Dispute/Appeal to	Escalation
						(or SoS Intervention)	
	T5.10	In effect		Panel's approval of the End-to-End Testing Approach Document	The DCC and Parties	SoS or an individual selected by SoS (in light of November 2014/May 2015 directions)**	None
	T5.14	In effect		Panel's approval of the SMKI and Repository Testing (SRT) Approach Document	That Party	Panel	SoS or an individual selected by SoS (in light of November 2014/May 2015 directions)**
	T5.24	In effect		Disagreement between the DCC and a Party as to whether that Party has met SREPT entry criteria	Parties	SoS or an individual selected by SoS (in light of November	None

SEC Section	SEC reference	Section status	Notes	Relating to	Who can raise a Dispute or an appeal	Dispute/Appeal to	Escalation
						2014/May 2015 directions)**	
	X1.1213	In effect		Panel's determination of whether DCC have met SRT exit criteria	Party or Panel	Secretary of State (or, where designated by the Secretary of State for such purposes, the Panel or the Authority)	Panel's decision can be escalated to Secretary of State (or, where designated by the Secretary of State for such purposes, to the Authority)
	6.4	In effect		Dispute between the Parties (or between the Panel and any Party) as to whether a particular Party is obliged to undertake a particular activity pursuant to Section X1.6 to X1.12 Parties' obligations under X1.6 to X1.11	The User or DCC	Panel	Arbitration

SEC Section	SEC reference	Section status	Notes	Relating to	Who can raise a Dispute or an appeal	Dispute/Appeal to	Escalation
Section X: Transition	9.3	In effect		Disputes relating to the termination of a Bilateral Agreement	The User	Panel	Authority
SEC Schedule 3: Specimen Bilateral Agreement	7.3	In effect		DCC making alterations to the DCC/User Bilateral Agreement	Participant	Panel	Authority
	4.10	In effect		Dispute on the requirement of amendments made by the DCC on the participant's behalf	The DCC	Authority	None
SEC Schedule 7: Specimen Enabling	4.10	In effect		Requested alterations to the DCC's remedial plan, as directed by SMKI PMA	The DCC	Authority	None

SEC Section	SEC reference	Section status	Notes	Relating to	Who can raise a Dispute or an appeal	Dispute/Appeal to	Escalation
Services Agreement							
SEC Appendix C SMKI Compliance Policy		In effect		Requested alterations to the DCC's remedial plan, as directed by SMKI PMA			