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# MP162 ‘SEC changes required to deliver MHHS’

## Annex C

### Legal text – version 0.4

#### About this document

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This document contains the redlined changes to the SEC that would be required to deliver this Modification Proposal.

## Section A ‘Definitions and Interpretations’

These changes have been redlined against Section A version 24.0.

### Amend the following definitions in Section A1.1 as follows:

#### 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Energy Consumer has given the User Unambiguous Consent to obtain that Consumption Data and such consent has not been withdrawn.

For clarity, where a Registered Supplier Agent or Meter Data Retriever is acting on behalf of a Supplier Party as described in Section H2.2 (Responsibility for Registered Supplier Agents) or Section H2A.2 (Responsibility for Meter Data Retrievers), then it may do so in reliance on paragraph (a) above, by reference to the Energy Licence of and/or consent obtained by the Supplier Party in question.

#### Other SEC Party

means a Party that is not the DCC, is not a Network Party, and is not a Supplier Party. For clarity, this includes those Parties which are not Network Parties or Supplier Parties and which intend to operate as Registered Supplier Agents and/or Meter Data Retrieval Services.

#### 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 or Meter Data Retriever (regardless of whether in fact that User is a Responsible Supplier or the Electricity Distributor or the Gas Transporter or the Registered Supplier Agent or the Meter Data Retriever during that period of or at that point in time).

#### Security Sub-Committee (~~MDR~~ and Other User) Member

has the meaning given to that expression in Section G7.10 (Membership of the Security Sub-Committee)

#### 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, Meter Data Retriever and Other User.

**Add the following new definitions to Section A1.1 in alphabetical order as follows:**

<b><u>Meter Data Retrieval Service</u></b>	<u>means the person that is appointed by the Smart Data Service to retrieve metering data for the purposes of market-wide half-hourly settlement.</u>
<b><u>Meter Data Retriever (or MDR)</u></b>	<u>means, for a Smart Metering System or a Device and any period of or point in time, the User that is appointed by the Smart Data Service as the Meter Data Retrieval Service in respect of the MPAN relating to that Smart Metering System or Device.</u>
<b><u>Smart Data Service</u></b>	<u>has the meaning given to that expression in the BSC.</u>

## Section G ‘Security’

These changes have been redlined against Section G version 13.0.

### G7. **SECURITY SUB-COMMITTEE**

#### **Membership of the Security Sub-Committee**

#### **Amend Section G7.3 as follows:**

G7.3 The Security Sub-Committee shall be composed of the following persons (each a “**Security Sub-Committee Member**”):

- (a) the Security Sub-Committee Chair (as further described in Section G7.5);
- (b) eight Security Sub-Committee (Supplier) Members (as further described in Section G7.6);
- (c) two Security Sub-Committee (Network) Members (as further described in Section G7.8);
- (d) one Security Sub-Committee (**MDR and** Other User) Member (as further described in Section G7.10);
- (e) one Security Sub-Committee (Shared Resource Provider) Member (as further described in Section G7.12);
- (f) one representative of the DCC (as further described in Section G7.15).

#### **Amend Sections G7.10 and G7.11 as follows:**

G7.10 The “**Security Sub-Committee (**MDR and** Other User) Member**” 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 G7 into this Code):

- (a) be appointed in accordance with Section G7.11, subject to compliance by the appointed person with Section C6.9 (Member Confirmation);
- (b) retire two 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 “Security Sub-Committee (**MDR and** Other User) Member”, references to “Panel” were to “Security Sub-Committee”, references to “Panel Chair” were to “Security Sub-Committee Chair”, and references to “Panel Members” were to “Security Sub-Committee Members”.

G7.11 The Security Sub-Committee (**MDR and** Other User) Member shall (subject to Section G7.14) be appointed in accordance with a process:

- (a) by which he or she is elected by those Other SEC Parties which are Meter Data Retrievers and/or Other Users; 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 “Security Sub-Committee”, references to “Panel Chair” were to “Security Sub-Committee Chair”, references to “Panel Members” were to “Security Sub-Committee Members”, and references to provisions of Section C or D were to the corresponding provisions set out in or applied pursuant to this Section G7).

**Amend Section G7.14 as follows:**

G7.14 The following shall apply in respect of all candidates nominated or re-nominated for election as a Security Sub-Committee (Supplier) Member, Security Sub-Committee (Network) Member, Security Sub-Committee (MDR and Other User) Member or Security Sub-Committee (Shared Resource Provider) Member:

- (a) the Security Sub-Committee may, by no later than 5 Working Days following the expiry of the period of time set out in the request for nominations, reject a candidate (by notifying the candidate of such rejection) where the Security Sub-Committee determines that the candidate does not satisfy one or more of the following requirements:
  - (i) the candidate must have been nominated by a company or other organisation, and the individual who submitted the nomination on behalf of the organisation must hold a senior position within the organisation;
  - (ii) the organisation which nominated the candidate must have confirmed that it is satisfied that the candidate has the relevant security expertise in relation to the category of membership of the Security Sub-Committee for which the candidate has been nominated;
  - (iii) the organisation which nominated the candidate must have confirmed that the candidate has successfully completed a BS7858 security assessment (or a security assessment named by such organisation which the organisation confirms to be equivalent); and
  - (iv) the candidate must have sufficient security expertise in relation to the category of membership of the Security Sub-Committee for which the candidate has been nominated;
- (b) a candidate who is rejected under paragraph (a) above shall not (subject to paragraph (c) below) be an eligible candidate for the relevant election;
- (c) where a candidate disputes a rejection notification under paragraph (a) above, the candidate shall have 3 Working Days following receipt of such notification to refer the matter to the Panel for its final determination of whether the candidate satisfies the requirements set out in paragraph (a) above; and
- (d) where necessary, the Secretariat shall delay giving notice of the names of eligible candidates pending expiry of the time periods set out in paragraph (a) and/or (c) or determination by the Panel under paragraph (c) (as applicable).

## **G8. USER SECURITY ASSURANCE**

### **Amend Section G8.47 as follows:**

#### **Security Assurance Assessments: Post-User Entry Process**

[...]

#### **Meter Data Retrievers and Other Users**

G8.47 Where a User is neither a Supplier Party nor a Network Party, Section G8.40 requires the User to schedule a User Security Verification Assessment and the User shall:

- (a) within 12 months after the previous User Security Verification Assessment, schedule a User Security Self-Assessment;
- (b) within 12 months after the User Security Self-Assessment schedule a Full User Security Assessment with the User Independent Security Assurance Service Provider; and
- (c) within 12 months after each Full User Security Assessment, schedule a User Security Verification Assessment.

### **Amend Section G8.63 as follows:**

#### **Shared Resource Providers**

[...]

G8.63 For the purposes of Section G8.40, where a Shared Resource Provider provides Shared Resources to Users which are:

- (a) Supplier Parties, the provisions of Sections G8.41 and G8.42 shall apply to the Shared Resource Provider as if it was a Supplier Party and the Smart Metering Systems for which those Supplier Parties are the Responsible Suppliers were Smart Metering Systems for which it is the Responsible Supplier;
- (b) Network Parties, the provisions of Sections G8.44 to G8.46 shall apply to the Shared Resource Provider as if it was a Network Party and the Smart Metering Systems for which those Network Parties are the Electricity Distributor and/or Gas Transporter were Smart Metering Systems for which it is the Electricity Distributor and/or Gas Transporter;
- (c) Meter Data Retrievers and/or Other Users, the provisions of Section G8.47 shall apply to the Shared Resource Provider as if it was a Meter Data Retriever and/or an Other User (respectively).

## Section H ‘DCC Services’

These changes have been redlined against Section H version 14.0.

### H1. USER ENTRY PROCESS

#### Amend Section H1.6 as follows:

##### User IDs

[...]

H1.6 The DCC shall accept each identification number proposed by each Party in respect of each of its User Roles (and record such numbers as identifying, and use such numbers to identify, such Party in such User Role); provided that the DCC shall only accept the proposed number if it has been issued by the Panel, and if (at the time of the Party's proposal) the Party:

- (a) holds for the User Role of ‘Import Supplier’ or ‘Export Supplier’, an Electricity Supply Licence;
- (b) holds for the User Role of ‘Gas Supplier’, a Gas Supply Licence;
- (c) holds for the User Role of ‘Electricity Distributor’, an Electricity Distribution Licence;
- (d) holds for the User Role of ‘Gas Transporter’, a Gas Transportation Licence; ~~and~~

~~(e)~~ is for the User Role of ‘Registered Supplier Agent’, identified in the Registration Data as a Meter Operator or a Meter Asset Manager for at least one MPAN or MPRN; ~~and~~

~~(e)(f)~~ is for the User Role of ‘Meter Data Retriever’, qualified as part of the Smart Data Service under the BSC.

#### Amend Section H1.10 as follows:

##### User Entry Process Requirements

H1.10 The User Entry Process for each User Role requires that the Party has:

- (a) received confirmation from the DCC of its acceptance of at least one User ID for the Party and that User Role in accordance with Section H1.6;
- (b) successfully completed the User Entry Process Tests for that User Role in accordance with Section H14 (Testing Services);
- (c) successfully demonstrated in accordance with the procedure set out in Section G8 (User Security Assurance) that the Party meets the applicable security requirements required by that Section;

- (d) (in the case only of the User Roles of Meter Data Retriever and Other User) successfully demonstrated in accordance with the procedure set out in Section I2 (Meter Data Retriever and Other User Privacy Audits) that the Party meets the applicable privacy requirements required by that Section; and
- (e) provided the Credit Support or additional Credit Support (if any) that the DCC requires that Party to provide, to be calculated by the DCC in accordance with Section J3 (Credit Cover) as if that Party were a User for that User Role (which calculation will include the DCC's reasonable estimates of the Charges that are likely to be incurred by that Party in that User Role in the period until the first Invoice for that Party is due to be paid by that Party in that User Role).

## Add Section H2A as follows:

### **H2A METER DATA RETRIEVERS**

#### **Rights and Obligations of Meter Data Retrievers**

H2A.1 Meter Data Retrievers are Parties to this Code in their own right, and as such have rights and obligations as Other SEC Parties or as Users acting in the User Role of Meter Data Retriever.

#### **Responsibility for Meter Data Retrievers**

H2A.2 It is acknowledged that the following Services (as described in the DCC User Interface Services Schedule) are only available to Users acting in the User Role of Meter Data Retriever by virtue of their appointment by the Smart Data Service as a Meter Data Retrieval Service in respect of the relevant MPAN:

- (a) Read Instantaneous Registers;
- (b) Retrieve Daily Read Logs;
- (c) Read Profile Data; and
- (d) Retrieve Daily Consumption Log.

H2A.3 Without prejudice to the rights and obligations of each Meter Data Retriever (as described in Section H2A.1), the Supplier Party described in Section H2A.4 shall ensure that each Meter Data Retriever that sends Service Requests for the Services described in Section H2A.2 shall only do so for the purposes of providing services to that Supplier Party in a manner consistent with that Supplier Party's Energy Supply Licence.

H2A.4 The Supplier Party referred to in Section H2A.3 is, in respect of a Service relating to a Smart Metering System or Device, the Responsible Supplier for that Smart Metering System or Device.

H2A.5 Nothing in this Code obliges Supplier Parties to contract with Meter Data Retrieval Services in order to procure from the Meter Data Retrieval Service services that result in the need for the Meter Data Retrieval Service to send Service Requests.



H2A.6 Each Supplier Party shall be responsible for controlling the ability of the Meter Data Retriever to send the Service Requests referred to in Section H2A.2 in circumstances where that Supplier Party would be liable under Section H2A.3.

### **H3. DCC USER INTERFACE**

#### **Amend Sections H3.8 and H3.10 as follows:**

##### **Eligibility for Services Over the DCC User Interface**

H3.6 A User shall not send a Service Request in respect of a Smart Metering System (or a Device forming, or to form, part of a Smart Metering System) unless it is an Eligible User for that Service and Smart Metering System (save that a User may send a Service Request in circumstances where it is not an Eligible User in order to rectify errors, as further described in the Service Request Processing Document).

H3.7 Whether or not a User is an Eligible User for the following Services is determined as follows:

- (a) for Enrolment Services, Core Communication Services and Local Command Services, the entitlement is described in Section H3.8; or
- (b) for Elective Communication Services, the entitlement is described in the relevant Bilateral Agreement.

H3.8 Subject to Sections H3.9 to H3.10B (inclusive), the following Users are entitled to receive the following Services in respect of a Smart Metering System (or a Device forming, or to form, part of that Smart Metering System):

- (a) the Import Supplier for that Smart Metering System is entitled to those Services described in the DCC User Interface Services Schedule as being available to the 'Import Supplier';
- (b) the Export Supplier for that Smart Metering System is entitled to those Services described in the DCC User Interface Services Schedule as being available to the 'Export Supplier';
- (c) the Gas Supplier for that Smart Metering System is entitled to those Services described in the DCC User Interface Services Schedule as being available to the 'Gas Supplier';
- (d) the Electricity Distributor for that Smart Metering System is entitled to those Services described in the DCC User Interface Services Schedule as being available to the 'Electricity Distributor';
- (e) the Gas Transporter for that Smart Metering System is entitled to those Services described in the DCC User Interface Services Schedule as being available to the 'Gas Transporter';
- (f) the Registered Supplier Agent for that Smart Metering System is entitled to those Services described in the DCC User Interface Services Schedule as being available to the 'Registered Supplier Agent';

~~(g)~~ the Meter Data Retriever for that Smart Metering System is entitled to those Services described in the DCC User Interface Services Schedule as being available to the 'Meter Data Retriever';

~~(g)(h)~~ any User acting in the User Role of Other User is entitled to those Services described in the DCC User Interface Services Schedule as being available to an 'Other User'; and

~~(h)(i)~~ in respect of certain Services (where specified in the DCC User Interface Services Schedule) and where an electricity Smart Metering System and a gas Smart Metering System share a Communications Hub Function, the Import Supplier is entitled to those Services in respect of the gas Smart Metering System.

H3.9 Subject to Sections H3.10 and H3.10A, a User's eligibility for a Service in respect of a Smart Metering System (or a Device forming, or to form, part of that Smart Metering System) is also dependent upon the status of that Smart Metering System (or such a Device), such that:

- (a) the Responsible Supplier may send Service Requests in respect of Devices that have an SMI Status of 'pending', 'whitelisted', 'installed not commissioned', 'commissioned', or 'suspended';
- (b) Users that are not the Responsible Supplier may only send Service Requests in respect of Devices that have an SMI Status of 'installed not commissioned' or 'commissioned'; and
- (c) Communication Services are not available in respect of a Smart Metering System until it has been Enrolled.

H3.10 Certain Services are available on the basis of Eligible User Role (rather than a User's status as an Eligible User in respect of a particular Smart Metering System or Device). In respect of these Services, references in the DCC User Interface Services Schedule to 'Electricity Import Supplier', 'Electricity Export Supplier', 'Gas Import Supplier', 'Electricity Network Operator', 'Gas Network Operator', 'Registered Supplier Agent', 'Meter Data Retriever' and 'Other Users' are to the corresponding User Roles. The Services in question are those described in the DCC User Interface Services Schedule as:

- (a) 'Request WAN Matrix';
- (b) 'Device Pre-notifications';
- (c) 'Read Inventory';
- (d) 'Communications Hub Status Update - Install Success';
- (e) 'Communications Hub Status Update - Install No SM WAN';
- (f) 'Communications Hub Status Update - Fault Return'; and
- (g) 'Communications Hub Status Update - No Fault Return'.

H3.10A Certain Services (or certain functionality in respect of certain Services) may be identified in the DCC User Interface Services Schedule as not being available in respect of SMETS1 Devices in general or in relation to particular SMETS1 Device Models. Where this is the case, Users are not

Eligible Users for the Services (or affected functionality) that are identified as being unavailable in such circumstances.

H3.10B A Party can, to the extent permitted under the Common Test Scenarios Document, complete User Entry Process Testing for a User Role (and consequently become an Eligible User for that User Role) without successfully completing testing for all the Service Requests potentially available to a User in that User Role. However, such a User will only be an Eligible User for those Service Requests in respect of which it has successfully completed testing (and not those which it has not).

**Add Section H3.13A as follows:**

**Use of Services for purposes relating to the electricity settlements process**

**H3.13A Users shall submit any Service Requests for the purpose of submitting data into the electricity settlements process through a Scheduled Service where such a Service is available and shall only request an On-Demand Service where a Scheduled Service fails or is not available.**

## Section I 'Data Privacy'

These changes have been redlined against Section I version 10.0.

### Amend Section I1.2 as follows:

#### **I1. DATA PROTECTION AND ACCESS TO DATA**

##### **User Obligations**

##### Consumption Data

- I1.2 Each User undertakes that it will not request, in respect of a Smart Metering System, a Communication Service or Local Command Service that will result in it obtaining Consumption Data, unless:
- (a) the User has the Appropriate Permission in respect of that Smart Metering System; and
  - (b) (where that User is not the Import Supplier, Export Supplier, Gas Supplier, Electricity Distributor or Gas Transporter for that Smart Metering System and is not a Registered Supplier Agent or Meter Data Retriever acting on behalf of such Import Supplier, Export Supplier or Gas Supplier as described in Section H2.2 (Responsibility for Registered Supplier Agents) or Section H2A.2 (Responsibility for Meter Data Retrievers)) the User has, at the point of obtaining Appropriate Permission and at such intervals as are reasonably determined appropriate by the User for the purposes of ensuring that the Energy Consumer is regularly updated of such matters, notified the Energy Consumer in writing of:
    - (i) the time periods (by reference to length) in respect of which the User obtains or may obtain Consumption Data;
    - (ii) the purposes for which that Consumption Data is, or may be, used by the User; and
    - (iii) the Energy Consumer's right to object or withdraw consent (as the case may be) to the User obtaining or using that Consumption Data, and the process by which the Energy Consumer may object or withdraw consent.

### Amend Section I2 as follows:

#### **I2. METER DATA RETRIEVER AND OTHER USER PRIVACY AUDITS**

##### **Procurement of the Independent Privacy Auditor**

I2.2 The Panel shall procure the provision of privacy audit services:

- (a) of the scope specified in Section I2.3;
- (b) from a person who:

(i) is suitably qualified, and has the necessary experience and expertise, to provide those services; and

(ii) is suitably independent in accordance with Section I2.4,

and that person is referred to in this Section I2 as the “**Independent Privacy Auditor**”.

I2.3 The Panel may appoint more than one person to carry out the functions of the Independent Privacy Auditor.

### Scope of Privacy Audit Services

I2.4 The privacy audit services specified in this Section I2.3 are services in accordance with which, for the purpose of providing reasonable assurance that Meter Data Retrievers and Other Users are complying with their relevant obligations under Sections I1.2 to I1.5 (User Obligations), the Independent Privacy Auditor shall:

- (a) carry out Privacy Assessments at such times and in such manner as is provided for in this Section I2;
- (b) produce Privacy Assessment Reports in relation to Meter Data Retrievers and Other Users that have been the subject of a Privacy Assessment;
- (c) receive and consider Privacy Assessment Responses;
- (d) otherwise, at the request of, and to an extent determined by, the Panel carry out an assessment of the compliance of any Meter Data Retriever or Other User with its relevant obligations under Sections I1.2 to I1.5;
- (e) provide to the Panel such advice and support as may be requested by it from time to time, including in particular advice in relation to the suitability of any remedial action plan for the purposes of Section M8.4 of the Code (Consequences of an Event of Default);
- (f) provide to the Authority such advice and support as it may request in relation to any disagreements with a decision of the Panel in respect of which the Authority is required to make a determination in accordance with this Section I2; and
- (g) undertake such other activities, and do so at such times and in such manner, as may be further provided for in this Section I2.

### Independence Requirement

I2.5 The Independent Privacy Auditor shall be treated as suitably independent in accordance with this Section I2.4 only if it satisfies:

- (a) the requirements specified in Section I2.6; and
- (b) the requirement specified in Section I2.7.

I2.6 For the purposes of Sections I2.6 and I2.7:

- (a) a “**Relevant Party**” means any Party in respect of which the Independent Privacy Auditor carries out functions under this Section I2; and

- (b) a "**Relevant Service Provider**" means any service provider to a Relevant Party from which that Party acquires capability for a purpose related to its compliance with its relevant obligations as a Meter Data Retriever or an Other User under Section I1.2 to I1.5.

12.7 The requirements specified in this Section I2.6 are that:

- (a) no Relevant Party or any of its subsidiaries, and no Relevant Service Provider or any of its subsidiaries, holds or acquires any investment by way of shares, securities or other financial rights or interests in the Independent Privacy Auditor;
- (b) no director of any Relevant Party, and no director of any Relevant Service Provider, is or becomes a director or employee of, or holds or acquires any investment by way of shares, securities or other financial rights or interests in, the Independent Privacy Auditor; and
- (c) the Independent Privacy Auditor does not hold or acquire a participating interest (as defined in section 421A of the Financial Services and Markets Act 2000) in any Relevant Party or any Relevant Service Provider,

(but for these purposes references to a Relevant Service Provider shall not include the Independent Privacy Auditor where it acts in that capacity).

12.8 The requirement specified in this Section I2.7 is that the Independent Privacy Auditor is able to demonstrate to the satisfaction of the Panel that it has in place arrangements to ensure that it will at all times act independently of any commercial relationship that it has, has had, or may in future have with a Relevant Party or Relevant Service Provider (and for these purposes a 'commercial relationship' shall include a relationship established by virtue of the Independent Privacy Auditor itself being a Relevant Service Provider to any Relevant Party).

### **Compliance of the Independent Privacy Auditor**

12.9 The Panel shall be responsible for ensuring that the Independent Privacy Auditor carries out its functions in accordance with the provisions of this Section I2.

### **Meter Data Retrievers and Other Users: Duty to Cooperate in Assessment**

12.10 Each Meter Data Retriever and Other User shall do all such things as may be reasonably requested by the Panel, or by any person acting on behalf of or at the request of the Panel (including in particular the Independent Privacy Auditor), for the purposes of facilitating an assessment of that Meter Data Retriever's or Other User's compliance with its obligations under Sections I1.2 to I1.5.

12.11 For the purposes of Section I2.9, a Meter Data Retriever or an Other User shall provide the Panel (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;
- (b) all such other forms of cooperation as may reasonably be requested, including in particular:
  - (i) access at all reasonable times to such parts of the premises of that Meter Data Retriever or Other User as are used for, and such persons engaged by that Meter Data Retriever or Other User as carry out or are authorised to carry out, any activities related to its compliance with its obligations under Sections I1.2 to I1.5; and

- (ii) such cooperation as may reasonably be requested by the Independent Privacy Auditor for the purposes of carrying out any Privacy Assessment in accordance with this Section 12.

### Categories of Assessment

12.12 For the purposes of this Section 12, there shall be the following three categories of privacy assessment:

- (a) a Full Privacy Assessment (as further described in Section 12.12);
- (b) a Random Sample Privacy Assessment (as further described in Section 12.13); and
- (c) a Privacy Self-Assessment (as further described in Section 12.14).

12.13 A "**Full Privacy Assessment**" shall be an assessment carried out by the Independent Privacy Auditor in respect of a Meter Data Retriever or an Other User to identify the extent to which that Meter Data Retriever or Other User:

- (a) is compliant with each of its relevant obligations under Sections 11.2 to 11.5; and
- (b) has in place the systems and processes necessary for ensuring that it complies with each such obligation.

12.14 A "**Random Sample Privacy Assessment**" shall be an assessment carried out by the Independent Privacy Auditor in respect of a Meter Data Retriever or an Other User to identify the extent to which the Meter Data Retriever or Other User is compliant with each of its relevant obligations under Sections 11.2 to 11.5 in relation to a limited (sample) number of Energy Consumers.

12.15 A "**Privacy Self-Assessment**" shall be an assessment carried out by a Meter Data Retriever or an Other User to identify the extent to which, since the last occasion on which a Privacy Assessment was carried out in respect of that Meter Data Retriever or Other User by the Independent Privacy Auditor, there has been any material change:

- (a) in the arrangements that the Meter Data Retriever or Other User has in place to comply with its relevant obligations under Sections 11.2 to 11.5; or
- (b) in the quantity of Consumption Data being obtained by the Meter Data Retriever or Other User.

### The Privacy Controls Framework

12.16 The Panel shall develop and maintain a document to be known as the "**Privacy Controls Framework**" which shall:

- (a) set out arrangements designed to ensure that Privacy Assessments are carried out appropriately for the purpose of providing reasonable assurance that Meter Data Retrievers and Other Users are complying with (or, for the purposes of Section H1.10(d) (User Entry Process Requirements), are capable of complying with) their relevant obligations under Sections 11.2 to 11.5; and

- (b) for that purpose, in particular, specify the principles and criteria to be applied in the carrying out of any Privacy Assessment, including principles designed to ensure that Privacy Assessments take place on a consistent basis across all Meter Data Retrievers and Other Users; and
  - (c) make provision for determining the timing, frequency and selection of Meter Data Retrievers and Other Users for the purposes of Random Sample Privacy Assessments.
- 12.17 In developing the Privacy Controls Framework, and prior to making any subsequent change to it, the Panel shall consult with and have regard to the views of all Parties, Citizens Advice and Citizens Advice Scotland, and the Authority.
- 12.18 The Panel shall ensure that an up to date copy of the Privacy Controls Framework is made available to all Parties and is published on the Website.

## **Privacy Assessments: General Procedure**

### Privacy Controls Framework

- 12.19 Each Privacy Assessment carried out by the Independent Privacy Auditor, a Meter Data Retriever or an Other User shall be carried out in accordance with the Privacy Controls Framework.

### The Privacy Assessment Report

- 12.20 Following the completion of a Full Privacy Assessment or Random Sample Privacy Assessment, the Independent Privacy Auditor shall, in discussion with the Meter Data Retriever or Other User to which the assessment relates, produce a written report (a "**Privacy Assessment Report**") which shall:
- (a) set out the findings of the Independent Privacy Auditor on all the matters within the scope of the Privacy Assessment;
  - (b) specify any instances of actual or potential non-compliance of the Meter Data Retriever or Other User with its relevant obligations under Sections I1.2 to I1.5 which have been identified by the Independent Privacy Auditor;
  - (c) set out the evidence which, in the opinion of the Independent Privacy Auditor, establishes each of the instances of actual or potential non-compliance which it has identified.
- 12.21 The Independent Privacy Auditor shall submit a copy of each Privacy Assessment Report to the Panel and to the Meter Data Retriever or Other User to which that report relates.

### The Privacy Assessment Response

- 12.22 Following the receipt by any Meter Data Retriever or Other User of a Privacy Assessment Report which relates to it, the Meter Data Retriever or Other User shall as soon as reasonably practicable, and in any event by no later than such date as the Panel may specify:
- (a) produce a written response to that report (a "**Privacy Assessment Response**") which addresses the findings set out in the report; and
  - (b) submit a copy of that response to the Panel and the Independent Privacy Auditor.



I2.23 Where a Privacy Assessment Report specifies any instance of actual or potential non-compliance of [a Meter Data Retriever or](#) an Other User with its relevant obligations under Sections I1.2 to I1.5, the [Meter Data Retriever or](#) Other User shall ensure that its Privacy Assessment Response includes the matters referred to in Section I2.23.

I2.24 The matters referred to in this Section are that the Privacy Assessment Response:

- (a) indicates whether the [Meter Data Retriever or](#) Other User accepts the relevant findings of the Independent Privacy Auditor and provides an explanation of the actual or potential non-compliance that has been identified; and
- (b) sets out any steps that the [Meter Data Retriever or](#) Other User proposes to take in order to remedy and/or mitigate the actual or potential non-compliance, and identifies a timetable within which the [Meter Data Retriever or](#) Other User proposes to take those steps.

I2.25 Where a Privacy Assessment Response sets out any steps that [a Meter Data Retriever or](#) an Other User proposes to take in accordance with Section I2.23(b), the Panel (having considered the advice of the Independent Privacy Auditor) shall review that response and either:

- (a) notify the [Meter Data Retriever or](#) Other User that it accepts that the steps that the [Meter Data Retriever or](#) Other User proposes to take, and the timetable within which it proposes to take them, are appropriate to remedy and/or mitigate the actual or potential non-compliance specified in the Privacy Assessment Report; or
- (b) seek to agree with the [Meter Data Retriever or](#) Other User such alternative steps and/or timetable as would, in the opinion of the Panel, be more appropriate for that purpose.

I2.26 Where a Privacy Assessment Response sets out any steps that [a Meter Data Retriever or](#) an Other User proposes to take in accordance with Section I2.23(b), and where those steps and the timetable within which it proposes to take them are accepted by the Panel, or alternative steps and/or an alternative timetable are agreed between it and the [Meter Data Retriever or](#) Other User in accordance with Section I2.24, the [Meter Data Retriever or](#) Other User shall:

- (a) take the steps that have been accepted or agreed (as the case may be) within the timetable that has been accepted or agreed (as the case may be); and
- (b) report to the Panel:
  - (i) on its progress in taking those steps, at any such intervals or by any such dates as the Panel may specify;
  - (ii) on the completion of those steps in accordance with the timetable; and
  - (iii) on any failure to complete any of those steps in accordance with the timetable, specifying the reasons for that failure.

### The Privacy Self-Assessment Report

I2.27 Following the completion of a Privacy Self-Assessment, the [Meter Data Retriever or](#) Other User which carried out that self-assessment shall as soon as reasonably practicable produce a written report (a "**Privacy Self-Assessment Report**") which shall set out the findings of the [Meter Data Retriever or](#) Other User, and describe the nature of any material change, since the last occasion

on which a Privacy Assessment was carried out in respect of the Meter Data Retriever or Other User by the Independent Privacy Auditor, in respect of:

- (a) the arrangements that the Meter Data Retriever or Other User has in place to comply with its relevant obligations under Sections I1.2 to I1.5; or
- (b) the quantity of Consumption Data being obtained by the Meter Data Retriever or Other User.

12.28 A Meter Data Retriever or an Other User which produced a Privacy Self-Assessment Report shall:

- (a) ensure that the report is accurate, complete and not misleading; and
- (b) submit a copy of the report to the Panel and the Independent Privacy Auditor.

12.29 Within the period of time specified in the Privacy Controls Framework following the receipt by it of a Privacy Self-Assessment Report, the Independent Privacy Auditor shall either:

- (a) notify the Meter Data Retriever or Other User that it accepts that report; or
- (b) inform the Meter Data Retriever or Other User that it will be subject to an additional Privacy Assessment of such nature by such date as the Panel may specify.

### **Initial Full Privacy Assessment: User Entry Process**

12.30 Sections I2.31 to I2.36 set out the applicable privacy requirements referred to in Section H1.10(d) (User Entry Process Requirements).

12.31 For the purposes of Sections I2.31 to I2.36, any reference in Sections I1.2 to I1.5 or the preceding provisions of this Section I2 to a 'User', 'Meter Data Retriever' or 'Other User' (or to any related expression which applies to Users), shall be read as including a reference (or otherwise applying) to any Party seeking to become a User by completing the User Entry Process for the User Role of Meter Data Retriever or Other User.

### **Initial Full Privacy Assessment**

12.32 For the purpose of completing the User Entry Process for the User Role of Meter Data Retriever or Other User, a Party wishing to act in that User Role shall be subject to a Full Privacy Assessment.

### **Panel: Setting the Assurance Status**

12.33 Following the receipt by it of the Privacy Assessment Report and Privacy Assessment Response produced after the initial Full Privacy Assessment, the Panel shall promptly consider both documents and set the assurance status of the Party, in relation to its compliance with each of its relevant obligations under Sections I1.2 to I1.5, in accordance with Section I2.33.

12.34 The Panel shall set the assurance status of the Party as one of the following:

- (a) approved;
- (b) approved, subject to the Party:

- (i) taking such steps as it proposes to take in its Privacy Assessment Response in accordance with Section I2.23(b); or
  - (ii) both taking such steps and being subject to a further Privacy Assessment of such nature and by such date as the Panel may specify;
- (c) deferred and:
- (i) the Party having first taken such steps as it proposes to take in its Privacy Assessment Response in accordance with Section I2.23(b) and been subject to a further Privacy Assessment; and
  - (ii) the Panel having determined that it is satisfied, on the evidence of the further Privacy Assessment, that such steps have been taken; or
- (d) rejected and:
- (i) the Party shall have a second Full Privacy Assessment to address any issues identified by the Panel as being, in the opinion of the Panel, not adequately addressed in that response as submitted to Panel; and
  - (ii) upon completion of the second Full Privacy Assessment the Panel will reconsider the assurance status in accordance with Section I2.32.

### Approval

I2.35 For the purposes of Sections H1.10(d) and H1.11 (User Entry Process Requirements):

- (a) a Party shall be considered to have successfully demonstrated that it meets the applicable privacy requirements of this Section I2 when:
  - (i) the Panel has set its assurance status to 'approved' in accordance with either Section I2.33(a) or (b); or
  - (ii) the Panel has set its assurance status to 'deferred' in accordance with Section I2.33(c) and the requirements specified in that Section have been met; and
- (b) the Panel shall notify the Code Administrator as soon as reasonably practicable after the completion of either event described in paragraph (a)(i) or (ii).

### Obligations on an Approved Party

I2.36 Where the Panel has set the assurance status of a Party to 'approved subject to' specified in Section I2.33(b), the Party shall take the steps to which that approval is subject in accordance with that section.

### Disagreement with Panel Decisions

I2.37 Where a Party disagrees with any decision made by the Panel in relation to it under Section I2.33, it may appeal that decision to the Authority and the determination of the Authority shall be final and binding for the purposes of the Code.

### **Privacy Assessments: Post-User Entry Process**

12.38 Following its initial Full Privacy Assessment for the purposes of the User Entry Process, an Other User shall be subject to annual Privacy Assessments as follows:

- (a) in the first year after the year of its initial Full Privacy Assessment, to a Privacy Self-Assessment;
- (b) in the immediately following year, to a Privacy Self-Assessment;
- (c) in the next following year, to a Full Privacy Assessment; and
- (d) in each year thereafter, to a category of Privacy Assessment which repeats the same annual sequence as that of paragraphs (a) to (c),

but these requirements shall be subject to the provisions of Section 12.38.

12.39 An Other User:

- (a) may, on the instruction of the Panel, or otherwise in accordance with the provisions of the Privacy Controls Framework, be subject to a Full Privacy Assessment or Random Sample Privacy Assessment at any time; and
- (b) where it is subject to such a Privacy Assessment in a year in which it would otherwise have been required to carry out a Privacy Self-Assessment in accordance with Section 12.37, shall not be required to carry out that self-assessment in that year.

### **Privacy Self-Assessment**

12.40 Where, in accordance with the requirements of this Section 12, an Other User is subject to a Privacy Self-Assessment in any year, that Other User shall:

- (a) carry out the Privacy Self-Assessment during that year;
- (b) do so in accordance with the Privacy Controls Framework; and
- (c) ensure that the outcome of the Privacy Self-Assessment is documented and is submitted to the Independent Privacy Auditor for review by no later than the date which is 13 months after the date of the commencement of the previous Full Privacy Assessment or (if more recent) Privacy Self-Assessment.

### **Other Users: Obligation to Pay Explicit Charges**

12.41 Each Other User shall pay to the DCC all applicable Charges in respect of:

- (a) all Privacy Assessments carried out in relation to it by the Independent Privacy Auditor;
- (b) the production by the Independent Privacy Auditor of any Privacy Assessment Reports following such assessments; and
- (c) all related activities of the Independent Privacy Auditor in respect of that Other User in accordance with this Section 12.

- I2.42 Expenditure incurred in relation to Other Users in respect of the matters described in Section I2.40 shall be treated as Recoverable Costs in accordance with Section C8 (Panel Costs and Budgets).
- I2.43 For the purposes of Section I2.40 the Panel shall, at such times and in respect of such periods as it may (following consultation with the DCC) consider appropriate, notify the DCC of:
- (a) the expenditure incurred in respect of the matters described in Section I2.40 that is attributable to individual Other Users, in order to facilitate Explicit Charges designed to pass-through the expenditure to such Other Users pursuant to Section K7 (Determining Explicit Charges); and
  - (b) any expenditure incurred in respect of the matters described in Section I2.40 which cannot reasonably be attributed to an individual Other User.

## Section L ‘Smart Metering Key Infrastructure and DCC Key Infrastructure’

These changes have been redlined against Section L version 14.0.

### L3. THE SMKI SERVICES

#### Authorised Subscribers

#### Amend Section L3.18 as follows:

##### Organisation Certificates and OCA Certificates

L3.18 Where the DCC, a Network Party or another Party which is (or is to become) a User, or any RDP, is an Authorised Subscriber in accordance with the Organisation Certificate Policy, that person will be an Eligible Subscriber in respect of an Organisation Certificate or OCA Certificate only where:

- (a) if the Subject of that Certificate is:
  - (i) either the DCC (acting pursuant to its powers or duties under the Code) or a DCC Service Provider, that person is the DCC; or
  - (ii) not the DCC, that person is the Subject of the Certificate; and
- (b) if the value of the X520OrganizationalUnitName field in that Certificate is a Remote Party Role corresponding to that listed in the table immediately below, either:
  - (i) that person is the DCC, it is the Party identified with that Remote Party Role in the second column of that table, the Certificate Signing Request originates from the individual System referred in the paragraph of the definition of DCC Live Systems identified in the fourth column of that table, and the Certificate is to be issued to the same individual System from which the Certificate Signing Request originates; or
  - (ii) that person is identified with that Remote Party Role in the second column of that table, and the value of the subjectUniqueID field in the Certificate is a User ID or RDP ID associated with any such User Role or with an RDP as may be identified in the third column of that table.

<u>Remote Party Role</u>	<u>Party</u>	<u>User Role or RDP</u>	<u>DCC Live Systems definition paragraph</u>
root	The DCC	[Not applicable]	(d)
recovery	The DCC	[Not applicable]	(f)
transitionalCoS	The DCC	[Not applicable]	(c)
wanProvider	The DCC	[Not applicable]	(a)

accessControlBroker	The DCC	[Not applicable]	(a) or (b) (as provided for in Section L3.18A)
issuingAuthority	The DCC	[Not applicable]	(d)
networkOperator	A Network Party	Either: (a) Electricity Distributor; or (b) Gas Transporter.	[Not applicable]
supplier	A Supplier Party	Either: (a) Import Supplier; or (b) Gas Supplier.	[Not applicable]
other	An RDP or any Party other than the DCC	Either: Other User; <a href="#">Meter Data Retriever</a> Registered Supplier Agent; Registration Data Provider; or Export Supplier.	[Not applicable]
pPPXmlSign	The DCC	[Not Applicable]	(g)
pPRDPFileSign	The DCC	[Not Applicable]	(g)
s1SPxmlSigning	The DCC	[Not Applicable]	(h)
xmlSign	An RDP or any Party other than the DCC	Either: Import Supplier; Gas Supplier; Electricity Distributor; Gas Transporter; Other User; <a href="#">Meter Data Retriever</a> ; Registered Supplier Agent; Registration Data Provider; or Export Supplier.	[Not applicable]
commissioningPartyFileSigning	The DCC	[Not Applicable]	[Only relevant during SMETS1 Migration]
requestingPartyFileSigning	The DCC	[Not Applicable]	[Only relevant during SMETS1 Migration]
s1SPMigrationSigning	The DCC	[Not Applicable]	[Only relevant during SMETS1 Migration]
commissioningPartyXmlSigning	The DCC	[Not Applicable]	[Only relevant during SMETS1 Migration]
loadController	None	None	[Not applicable]
coSPartyXmlSign	The DCC	[Not Applicable]	(c)
dSPXmlSign	The DCC	[Not Applicable]	(a)
aCBXmlSign	The DCC	[Not Applicable]	(b)
wANProviderXmlSign	The DCC	[Not Applicable]	(a)

L3.18A For the purposes of the fourth column of row 5 of the above table, where:

- (a) the Certificate to be issued is to have a keyUsage value of digitalSignature, the Certificate Signing Request must only have originated from the individual System referred to at paragraph (a) of the definition of DCC Live Systems; and
- (b) the Certificate to be issued is to have a keyUsage value of keyAgreement, the Certificate Signing Request must only have originated from the individual System referred to at paragraph (b) of the definition of DCC Live Systems.

L3.18B For the purposes of Section L3.18A, the term 'keyUsage', 'digitalSignature', and 'keyAgreement' shall have the meaning given to that term in the Organisation Certificate Policy.



## Schedule 11 ‘TS Applicability Tables’

These changes have been redlined against Schedule 11 version 16.0.

**Amend the DUIS Maintenance Validity Period table as follows (*the DUIS version and maintenance start date will be confirmed during implementation*):**

### DUIS Maintenance Validity Period

DUIS Version	Maintenance Start date	Maintenance End date
1.1	21/07/2017	26/11/2021
2.0	01/02/2018	26/11/2021
3.0	28/07/2019	TBC
3.1	29/11/2019	TBC
4.0	29/11/2020	TBC
5.0	04/11/2021	TBC
<u>X.X</u>	<u>DD/MM/YYYY</u>	<u>TBC</u>

## Appendix E 'DCC User Interface Services Schedule'

These changes have been redlined against Appendix E version 6.0.

**Amend the following entries in the DCC User Interface Services Schedule as follows:**

4.1	4.1.1	Read Instantaneous Import Registers	Import Supplier, Gas Supplier, Electricity Distributor, Gas Transporter	30 seconds	16 seconds		
			<u>Meter Data Retriever</u>	<u>n/a</u>	<u>24 hours</u>		<u>MDRs may only be Eligible Users for this Service in respect of SMETS1 Devices</u>
4.2	4.2	Read Instantaneous Export Register Values	Export Supplier, Electricity Distributor	30 seconds	16 seconds		
			<u>Meter Data Retriever</u>	<u>24 hours</u>	<u>24 hours</u>		
4.6	4.6.1	Retrieve Import Daily Read Log	Import Supplier, Gas Supplier	30 seconds	16 seconds		Where a change of supplier occurs on any day, both the new supplier and the old supplier will be eligible to retrieve the daily read log for that day.
			<u>Meter Data Retriever</u>	<u>24 hours</u>	<u>24 hours</u>		<u>Where a change of supplier occurs on any day, both the new MDR and the old MDR will be eligible to retrieve the daily read log for that day.</u>
4.6	4.6.2	Retrieve Export Daily Read Log	Export Supplier	30 seconds	n/a		Where a change of supplier occurs on any day, both the new

Managed by

							supplier and the old supplier will be eligible to retrieve the daily read log for that day.  Users may only be Eligible Users for this Service in respect of SMETS2+ Devices
			<a href="#">Meter Data Retriever</a>	<a href="#">24 hours</a>	<a href="#">n/a</a>		<a href="#">Where a change of supplier occurs on any day, both the new MDR and the old MDR will be eligible to retrieve the daily read log for that day.</a> <a href="#">Users may only be Eligible Users for this Service in respect of SMETS2+ Devices</a>

4.8	4.8.1	Read Active Import Profile Data	Import Supplier, Gas Supplier, Electricity Distributor, Gas Transporter, Other User	5,600 seconds	16 seconds		
			<a href="#">Meter Data Retriever</a>	<a href="#">24 hours</a>	<a href="#">24 hours</a>		

4.8	4.8.3	Read Export Profile Data	Export Supplier, Electricity Distributor, Other User	30 seconds	16 seconds		
			<a href="#">Meter Data Retriever</a>	<a href="#">24 hours</a>	<a href="#">24 hours</a>		

4.17	4.17	Retrieve Daily Consumption Log	Import Supplier, Gas Supplier, Electricity Distributor, Gas Transporter, Other User	30 seconds	n/a		Users may only be Eligible Users for this Service in respect of SMETS2+ Devices
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			<a href="#">Meter Data Retriever</a>	<a href="#">24 hours</a>	<a href="#">n/a</a>		<a href="#">Users may only be Eligible Users for this Service in respect of SMETS2+ Devices</a>
5.1	5.1	Create Schedule	Import Supplier, Gas Supplier, Electricity Distributor, Gas Transporter, Export Supplier, <a href="#">Meter Data Retriever</a> , Other User	24 hours	24 hours	✓	
5.2	5.2	Read Schedule	Import Supplier, Gas Supplier, Electricity Distributor, Gas Transporter, Export Supplier, <a href="#">Meter Data Retriever</a> , Other User	24 hours	24 hours	✓	
5.3	5.3	Delete Schedule	Import Supplier, Gas Supplier, Electricity Distributor, Gas Transporter, Export Supplier, <a href="#">Meter Data Retriever</a> , Other User	24 hours	24 hours	✓	

8.2	8.2	Read Inventory	Import Supplier, Gas Supplier, Electricity Distributor, Gas Transporter, Export Supplier, Registered Supplier Agent, <u>Meter Data Retriever</u> , Other User	30 seconds	<del>1630</del> seconds	✓	
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## Appendix R 'Common Test Scenarios Document'

These changes have been redlined against Appendix R version 4.0.

### 8. Annex C: Test Scenarios

#### Add Section 8.1.10A as follows:

##### 8.1.10A Meter Data Retriever (MDR) User Role

Service Reference	Service Reference Variant	Name	Critical	CV1 – On Demand	CV1 – Future Dated	CV2 – On Demand	CV3 – On Demand	CV4 – On Demand	CV5 – On Demand	CV5 – Future Dated	CV6 – On Demand	CV7 – On Demand	CV8 – DCC Only	MDR
4.1	4.1.1	Read Instantaneous Import Registers	N	Mandatory	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	MDR
4.2	4.2	Read Instantaneous Export Register Values	N	Mandatory	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	MDR
4.6	4.6.1	Retrieve Import Daily Read Log	N	Mandatory	N/A	Mandatory SMETS 2	N/A	N/A	N/A	N/A	N/A	N/A	N/A	MDR
4.6	4.6.2	Retrieve Export Daily Read Log	N	Mandatory	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	MDR
4.8	4.8.1	Read Active Import Profile Data	N	Mandatory	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	MDR
4.8	4.8.3	Read Export Profile Data	N	Mandatory	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	MDR
4.17	4.17	Retrieve Daily Consumption Log	N	Mandatory	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	MDR
5.1	5.1	Create Schedule	N	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	Mandatory	MDR
5.2	5.2	Read Schedule	N	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	Mandatory	MDR
5.3	5.3	Delete Schedule	N	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	Mandatory	MDR
8.2	8.2	Read Inventory	N	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	Mandatory	MDR
-		Count of N/A	-	4	11	10	11	11	11	11	11	11	7	-
		Count of Mandatory	-	5	0	0	0	0	0	0	0	0	4	9
		Count of Mandatory SMETS 2	-	2	0	1	0	0	0	0	0	0	0	3
		Total Tests												12

#### Amend Sections 8.1.26 and 8.1.27 as follows:

##### 8.1.26. Response Code Tests

The following table outlines the Response Code Tests required to be executed by User Role. The purpose of these tests is to prove that a party can receive a subset of Response Code messages based on the differing types of response codes that can be received.

##### New User

The following User Role tables reflect the test Response Codes that must be executed by a new Party seeking to undertake UEPT, unless the Testing Participant has descoped a subset of Service Requests and this have been agreed with DCC or, where referred to the Panel, has been determined by the Panel. The tests are those indicated as ‘Mandatory, Mandatory SMETS1 and Mandatory SMETS2+’ in the test scenario column, for which they must be executed for each specific User Role. Those indicated as ‘Mandatory’ must be executed in respect of a SMETS1 Device and a SMETS2+ Device. Those indicated as ‘Mandatory SMETS1’ must be executed in respect of a SMETS1 Device. Those indicated as ‘Mandatory SMETS2+’ must be executed in respect of a SMETS2+ Device. Where the Response Code Tests are indicated as N/A there is no requirement to test during execution of the test scenarios.

Reference	Name	Test Scenario	User Role
E11	Failed Validation - Invalid Service Request / Device Type combination	Mandatory	IS ES GS ED GT RSA <u>MDR</u> OU
E13	Failed Validation – Invalid Request Type for URL	Mandatory	IS ES GS ED GT RSA <u>MDR</u> OU
E19	Failed Validation – Device doesn’t exist	Mandatory	IS ES GS ED GT RSA <u>MDR</u> OU
E60	Failed Validation – Invalid Service Request for SMETS1 Devices	Mandatory SMETS1	IS ES GS ED GT RSA <u>MDR</u> OU
E61	Failed Validation – Invalid Command Variant for SMETS1 Service Request	Mandatory SMETS1	IS ES GS ED GT RSA <u>MDR</u> OU

#### 8.1.27. Self Service Interface Test

The following tables outline the test required to be executed by a Testing Participant to determine whether the prospective User can access the SSI.

Test Scenario	
Title:	Testing Participant can successfully log into and access the Self Service Interface.
Prerequisite:	Testing Participant holds the role of IS, ES, ED, GT, RSA, <u>MDR</u> or OU for testing purposes. Connection to DCC System. Party SSI login authentication via DCC or own IDP.

Steps	Description	Objective	Actions	Acceptance Criteria
1	Login via IDP	Authenticate via IDP	Party to open the web service for SSI logon and complete Party login via DCC or own IDP.	Login success and the authenticating SEC Party will be presented with Self Service Interface.

## Appendix AB 'Service Request Processing Document'

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These changes have been redlined against Appendix AB version 6.0.

### Add Section 20 as follows:

#### 20 Obligations of the User: Scheduling Service Requests submitted for electricity settlement purposes

20.1 A User will submit all Service Request made for the purpose of collecting metered data for use in the electricity settlements process as a Scheduled Service where such a service is available.

20.2 A User may only submit such Service Requests as an On-Demand Service where the Scheduled Service fails or is not available.



## Appendix AD ‘DCC User Interface Specification’

These changes have been redlined against Appendix AD version 5.0.

### 3 MESSAGES SENT OVER THE INTERFACE

**Amend Section 3.1 as follows:**

#### 3.1 Service Request Matrix

For each Service Request, this section sets out the following attributes:

- Service Request Name
- Service Reference
- Service Reference Variant
- whether the Service Request is Critical or Non-Critical
- modes of operation which vary how the Service Request or Signed Pre-Command will be executed.
- whether or not the Service Request is a Non-Device Service Request
- the User Roles eligible to submit the Service Request
- whether the Service Request is available as a SMETS1 Service Request

User Role Reference	User Role Description
IS	Import Supplier
ES	Export Supplier
GS	Gas Supplier
RSA	Registered Supplier Agent
ED	Electricity Distributor
GT	Gas Transporter
<u>MDR</u>	<u>Meter Data Retriever</u>
OU	Other User

**Table 17 : User Roles**

The following table (the “Service Request Matrix”) sets out these attributes (i.e. the ones referred to above) for each Service Request. The description of Eligible User Roles is only a summary, as further qualifications concerning Eligible User Roles are set out in the DCC User Interface Services Schedule.

Amend the following rows in the table in Section 3.1 as follows (extract of full table):

Service Request Name	Service Reference	Service Reference Variant	Critical	Modes of Operation				Eligible User Roles	Available in relation to SMTS1 Devices
				On Demand	Future Dated Response Pattern	DCC Scheduled	Non-Device Request		
Read Instantaneous Import Registers	4.1	4.1.1	No	Yes	DSP	No	No	IS GS ED GT <u>MDR</u>	Yes
Read Instantaneous Export Registers	4.2	4.2	No	Yes	DSP	<del>No</del> Yes	No	ES ED <u>MDR</u>	Yes
Retrieve Import Daily Read Log	4.6	4.6.1	No	Yes	DSP	Yes	No	IS GS <u>MDR</u>	Yes
Retrieve Export Daily Read Log	4.6	4.6.2	No	Yes	DSP	Yes	No	ES <u>MDR</u>	No
Read Active Import Profile Data	4.8	4.8.1	No	Yes	DSP	Yes	No	IS GS ED GT <u>MDR</u> OU	Yes
Read Export Profile Data	4.8	4.8.3	No	Yes	DSP	Yes	No	ES ED <u>MDR</u> OU	Yes
Retrieve Daily Consumption Log	4.17	4.17	No	Yes	DSP	Yes	No	IS GS ED GT <u>MDR</u> OU	No

Service Request Name	Service Reference	Service Reference Variant	Critical	Modes of Operation				Eligible User Roles	Available in relation to SMETS1 Devices
				On Demand	Future Dated Response Pattern	DCC Scheduled	Non-Device Request		
Create Schedule	5.1	5.1	No	No	No	No	Yes	IS ES GS ED GT <u>MDR</u> OU	Yes
Read Schedule	5.2	5.2	No	No	No	No	Yes	IS ES GS ED GT <u>MDR</u> OU	Yes
Delete Schedule	5.3	5.3	No	No	No	No	Yes	IS ES GS ED GT <u>MDR</u> OU	Yes
Read Inventory  (Current and Future Suppliers may use this Service Request)	8.2	8.2	No	No	No	No	Yes	IS ES GS RSA ED GT <u>MDR</u> OU	Yes

### 3.8 Service Request Definitions

**Amend Section 3.8.17 as follows:**

#### 3.8.17 Read Instantaneous Import Registers

##### 3.8.17.1 Service Description

<b>Service Request Name</b>	ReadInstantaneousImportRegisters	
<b>Service Reference</b>	4.1	
<b>Service Reference Variant</b>	4.1.1	
<b>Eligible Users</b>	Import Supplier (IS) Gas Supplier (GS) Electricity Distributor (ED) Gas Transporter (GT) <u>Meter Data Retriever (MDR)</u>	
<b>Security Classification</b>	Non Critical	
<b>BusinessTargetID - Device Type applicable to this request</b>	Electricity Smart Meter (ESME) Gas Smart Meter (GSME) Gas Proxy Function (GPF)	
<b>Can be future dated?</b>	DSP	
<b>On Demand?</b>	Yes	
<b>Capable of being DCC Scheduled?</b>	No	
<b>Command Variants applicable to this Request (Only one populated)</b>	1 - Send (Non-Critical) 2 - Return for local delivery (Non-Critical) 3 - Send and Return for local delivery (Non-Critical)	
<b>Common Header Data Items</b>	See clause 3.4.1.1	
<b>Data Items Specific to this Service Request</b>	See Specific Data Items Below	
<b>Possible responses from this Service Request</b>	These are the possible responses applicable to this Service Request. Please see clause 3.5 for more details on processing patterns <ul style="list-style-type: none"> <li>Acknowledgement</li> <li>Service Response from Device – GBCSPayload</li> <li>Response to a Command for Local Delivery Request - LocalCommand Format</li> </ul> Also see Response Section below for details specific to this Request	
<b>Response Codes possible from this Service Request</b>	See clause 3.5.10 for Common Response Codes	
<b>GBCS Cross Reference</b>	Electricity	Gas
<b>GBCS MessageCode</b>	0x0027	0x0074
<b>GBCS Use Case</b>	ECS17b	GCS13a

### 3.8.17.2 Specific Data Items for this Request

#### ReadInstantaneousImportRegisters Definition

Data Item	Description / Allowable values	Type	Mandatory	Default	Units
ExecutionDateTime	<p>A User shall only add this Data Item to the Service Request where they require the Service Request to be executed at a future date and time.</p> <p>The UTC date and time the User requires the command to be executed on the Device.</p> <ul style="list-style-type: none"> <li>Date-time in the future that is either <math>\leq</math> current date + 30 days or the date = '3000-12-31T00:00:00Z'</li> </ul>	xs:dateTime	No	N/A	UTC Date-Time

**Table 126 : ReadInstantaneousImportRegisters (sr:ReadInstantaneousImportRegisters) data items**

### 3.8.17.3 Specific Validation for this Request

See clause 3.2.5 for general validation applied to all Requests and also Execution Date Time validation (clause 3.10.2)

Response Code	Response Code Description
E040101	<p>The Gas Transporter can only read Instantaneous Import Registers from the GPF and not the Gas Smart Meter</p> <p><u><a href="#">A Meter Data Retriever cannot read Instantaneous Import Registers from a SMETS2+ Device</a></u></p>

**Amend Section 3.8.21 as follows:**

### 3.8.21 Read Instantaneous Export Registers

#### 3.8.21.1 Service Description

Service Request Name	ReadInstantaneousExportRegisters
Service Reference	4.2
Service Reference Variant	4.2
Eligible Users	<p>Export Supplier (ES)</p> <p>Electricity Distributor (ED)</p> <p><u><a href="#">Meter Data Retriever (MDR)</a></u></p>
Security Classification	Non Critical
BusinessTargetID	Electricity Smart Meter (ESME)

- Device Type applicable to this request		
Can be future dated?	DSP	
On Demand?	Yes	
Capable of being DCC Scheduled?	<del>No</del> Yes	
Command Variants applicable to this Request (Only one populated)	1 - Send (Non-Critical) 2 - Return for local delivery (Non-Critical) 3 - Send and Return for local delivery (Non-Critical)	
Common Header Data Items	See clause 3.4.1.1	
Data Items Specific to this Service Request	See Specific Data Items Below	
Possible responses from this Service Request	These are the possible responses applicable to this Service Request. Please see clause 3.5 for more details on processing patterns <ul style="list-style-type: none"><li>• Acknowledgement</li><li>• Service Response from Device – GBCSPayload</li><li>• Response to a Command for Local Delivery Request - LocalCommand Format</li></ul> Also see Response Section below for details specific to this Request	
Response Codes possible from this Service Request	See clause 3.5.10 for Common Response Codes	
GBCS Cross Reference	Electricity	Gas
GBCS MessageCode	0x0026	N/A
GBCS Use Case	ECS17a	N/A

### 3.8.21.2 Specific Data Items for this Request

The data items applicable depend on whether the Request is On Demand or DCC Scheduled.

For execution of this Service Request as an On Demand Service, the ReadInstantaneousExportRegisters XML element defines this Service Request.

#### ReadInstantaneousExportRegisters Definition (On Demand)

Data Item	Description / Allowable values	Type	Mandatory	Default	Units
ExecutionDateTime	A User shall only add this Data Item to the Service Request where they require the Service Request to be executed at a future date and time. The UTC date and time the User requires the command to be executed on the Device. <ul style="list-style-type: none"> <li>Date-time in the future that is either &lt;= current date + 30 days or the date = '3000-12-31T00:00:00Z'</li> </ul>	xs:dateTime	No	N/A	UTC Date-Time

**Table 130 : ReadInstantaneousExportRegisters (sr:FutureDatedAbstractType) data items**

For execution of this Service Request as a DCC Scheduled Service, the **DSPReadInstantaneousExportRegisters** XML element defines this Service Request and does not contain any other specific data items. The User shall include this XML element within the Service Request 5.1 (Create Schedule).

### **3.8.21.3 Specific Validation for this Request**

No specific validation is applied for this Request, see clause 3.2.5 for general validation applied to all Requests and also Execution Date Time validation (clause 3.10.2).

**Amend Section 3.8.27 as follows:**

## **3.8.27 Retrieve Import Daily Read Log**

### **3.8.27.1 Service Description**

<b>Service Request Name</b>	RetrieveImportDailyReadLog
<b>Service Reference</b>	4.6
<b>Service Reference Variant</b>	4.6.1
<b>Eligible Users</b>	<p>Import Supplier (IS) Gas Supplier (GS) <u>Meter Data Retriever (MDR)</u></p> <p>Where a change of supplier occurs on any day, both the new supplier <u>and new MDR</u> and the old supplier <u>and old MDR</u> will be eligible to retrieve the daily read log for that day.</p>
<b>Security Classification</b>	Non Critical
<b>BusinessTargetID</b> - <b>Device Type applicable to this request</b>	<p>Electricity Smart Meter (ESME) Gas Smart Meter (GSME) Gas Proxy Function (GPF)</p>
<b>Can be future dated?</b>	DSP
<b>On Demand?</b>	Yes
<b>Capable of being DCC Scheduled?</b>	Yes
<b>Command Variants applicable to this Request (Only one populated)</b>	<p>1 - Send (Non-Critical) 2 - Return for local delivery (Non-Critical) 3 - Send and Return for local delivery (Non-Critical)</p>
<b>Common Header Data Items</b>	See clause 3.4.1.1
<b>Data Items Specific to this Service Request</b>	See Specific Data Items Below
<b>Possible responses from this Service Request</b>	<p>These are the possible responses applicable to this Service Request. Please see clause 3.5 for more details on processing patterns</p> <ul style="list-style-type: none"> <li>Acknowledgement</li> <li>Service Response from Device – GBCSPayload</li> </ul>

	<ul style="list-style-type: none"> <li>Service Response (from Device) - DSPScheduledMessage Format</li> <li>Response to a Command for Local Delivery Request – LocalCommand Format</li> </ul> <p>Also see Response Section below for details specific to this Request</p>	
<b>Response Codes possible from this Service Request</b>	See clause 3.5.10 for Common Response Codes	
<b>GBCS Cross Reference</b>	Electricity	Gas
<b>GBCS MessageCode</b>	0x0033	0x0077
<b>GBCS Use Case</b>	ECS21a	GCS16a

### 3.8.27.2 Specific Data Items for this Request

The data items applicable depend on whether the Service Request is executed on an On Demand or DCC Scheduled basis.

For execution of this Service Request as an On Demand Service, the RetrieveImportDailyReadLog XML element defines this Service Request.

#### RetrieveImportDailyReadLog (On Demand) Definition

Data Item	Description / Allowable values	Type	Mandatory	Default	Units
ExecutionDateTime	A User shall only add this Data Item to the Service Request where they require the Service Request to be executed at a future date and time.  The UTC date and time the User requires the command to be executed on the Device  Date-time in the future that is either <= current date + 30 days or the date = '3000-12-31T00:00:00Z'	xs:dateTime	No	None	UTC Date-Time
ReadLogPeriod	The Start and End Date-Times for which the data is required	sr:ReadLogPeriod (see clause 3.10.1.14)	Yes	None	N/A
KAPublicSecurityC redentials	The Key Agreement Public Security Credentials (of the requesting party) to be used where the request is from an Unknown Remote Party (i.e. Old Responsible Supplier) with respect to the BusinessTargetID specified within the Service Request.	sr:Certificate (xs:base64Binary)	Responsible Supplier: N/A  Old Responsible Supplier: Yes  <u>MDR: Yes</u>	None	N/A



			Mandatory for User Roles IS/GS that do not have their credentials on the Device when sending the Service Request e.g. Old Suppliers		
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**Table 136 : RetrieveImportDailyReadLog (sr:ReadLogFutureDataAndURPCredentials) data items**

For execution of this Service Request as DCC Scheduled Service, The DSPRetrieveImportDailyReadLog XML element defines this Service Request. The User shall include this XML element within the Service Request 5.1 (Create Schedule).

**DSPRetrieveImportDailyReadLog (Create Schedule) Definition**

Data Item	Description / Allowable values	Type	Mandatory	Default	Units
DSPRetrieveImportDailyReadLog	The Start and End Date Offsets from the scheduled execution date and the Start and End Times which together define the date-time period for which the data is required	sr:ReadLogPeriodOffset (See clause 3.10.1.15)	Yes	None	N/A

**Table 137 : DSPRetrieveImportDailyReadLog (sr:ReadLogPeriodOffset) data items**

### **3.8.27.3 Specific Validation for this Request**

Specific validation is applied for this Request as below and see clause 3.2.5 for general validation applied to all Requests.

For On Demand Services, see clause 3.10.2 for Execution Date Time, Key Agreement Public Security Credentials, Device Applicability and Read Log Period validation.

For DCC Scheduled Services, see clause 3.10.2 for Read Log Period Offset and Device Applicability validation.

**Amend Section 3.8.28 as follows:**

### 3.8.28 Retrieve Export Daily Read Log

#### 3.8.28.1 Service Description

<b>Service Request Name</b>	RetrieveExportDailyReadLog	
<b>Service Reference</b>	4.6	
<b>Service Reference Variant</b>	4.6.2	
<b>Eligible Users</b>	<p>Export Supplier (ES)  <a href="#">Meter Data Retriever (MDR)</a></p> <p>Where a change of supplier occurs on any day, both the new supplier <u>and new MDR</u> and the old supplier <u>and old MDR</u> will be eligible to retrieve the daily read log for that day.</p>	
<b>Security Classification</b>	Non Critical	
<b>BusinessTargetID</b> - <b>Device Type applicable to this request</b>	Electricity Smart Meter (ESME)	
<b>Can be future dated?</b>	DSP	
<b>On Demand?</b>	Yes	
<b>Capable of being DCC Scheduled?</b>	Yes	
<b>Command Variants applicable to this Request (Only one populated)</b>	1 - Send (Non-Critical) 2 - Return for local delivery (Non-Critical) 3 - Send and Return for local delivery (Non-Critical)	
<b>Common Header Data Items</b>	See clause 3.4.1.1	
<b>Data Items Specific to this Service Request</b>	See Specific Data Items Below	
<b>Possible responses from this Service Request</b>	<p>These are the possible responses applicable to this Service Request. Please see clause 3.5 for more details on processing patterns</p> <ul style="list-style-type: none"> <li>Acknowledgement</li> <li>Service Response from Device – GBCSPayload</li> <li>Service Response (from Device) - DSPScheduledMessage Format</li> <li>Response to a Command for Local Delivery Request – LocalCommand Format</li> </ul> <p>Also see Response Section below for details specific to this Request</p>	
<b>Response Codes possible from this Service Request</b>	See clause 3.5.10 for Common Response Codes	
<b>GBCS Cross Reference</b>	Electricity	Gas
<b>GBCS MessageCode</b>	0x0035	N/A
<b>GBCS Use Case</b>	ECS21c	N/A

### 3.8.28.2 Specific Data Items for this Request

The data items applicable depend on whether the Service Request is executed on an On Demand or DCC Scheduled basis.

For execution of this Service Request as an On Demand Service, the RetrieveExportDailyReadLog XML element defines this Service Request.

#### RetrieveExportDailyReadLog (On Demand)

Data Item	Description / Allowable values	Type	Mandatory	Default	Units
ExecutionDateTime	A User shall only add this Data Item to the Service Request where they require the Service Request to be executed at a future date and time. The UTC date and time the User requires the command to be executed on the Device ID Date-time in the future that is either <= current date + 30 days or the date = '3000-12-31T00:00:00Z'	xs:dateTime	No	None	UTC Date-Time
ReadLogPeriod	The Start and End Date-Times for which the data is required	sr:ReadLogPeriod (see clause 3.10.1.14)	Yes	None	N/A

**Table 138 : RetrieveExportDailyReadLog (sr:ReadLogFutureDataable) data items**

For execution of this Service Request as DCC Scheduled Service, The DSPRetrieveExportDailyReadLog XML element defines this Service Request. The User shall include this XML element within the Service Request 5.1 (Create Schedule).

#### DSPRetrieveExportDailyReadLog (Create Schedule)

Data Item	Description / Allowable values	Type	Mandatory	Default	Units
DSPRetrieveExportDailyReadLog	The Start and End Date Offsets from the current date and the Start and End Times which together define the date-time period for which the data is required	sr:ReadLogPeriod Offset (See clause 3.10.1.15)	Yes	None	N/A

**Table 139 : DSPRetrieveExportDailyReadLog (sr:ReadLogPeriodOffset) data items**

### 3.8.28.3 *Specific Validation for this Request*

Specific validation is applied for this Request as below and see clause 3.2.5 for general validation applied to all Requests.

For On Demand Services, see clause 3.10.2 for Execution Date Time and Read Log Period validation.

For DCC Scheduled Services, see clause 3.10.2 for Read Log Period Offset validation.

### Amend Section 3.8.29 as follows:

## 3.8.29 Read Active Import Profile Data

### 3.8.29.1 *Service Description*

<b>Service Request Name</b>	ReadActiveImportProfileData
<b>Service Reference</b>	4.8
<b>Service Reference Variant</b>	4.8.1
<b>Eligible Users</b>	Import Supplier (IS) Gas Supplier (GS) Electricity Distributor (ED) Gas Transporter (GT) <u>Meter Data Retriever (MDR)</u> Other User (OU)
<b>Security Classification</b>	Non Critical
<b>BusinessTargetID - Device Type applicable to this request</b>	Electricity Smart Meter (ESME) Gas Smart Meter (GSME) Gas Proxy Function (GPF)
<b>Can be future dated?</b>	DSP
<b>On Demand?</b>	Yes
<b>Capable of being DCC Scheduled?</b>	Yes
<b>Command Variants applicable to this Request (Only one populated)</b>	1 - Send (Non-Critical) 2 - Return for local delivery (Non-Critical) 3 - Send and Return for local delivery (Non-Critical)
<b>Common Header Data Items</b>	See clause 3.4.1.1
<b>Data Items Specific to this Service Request</b>	See Specific Data Items Below
<b>Possible responses from this Service Request</b>	These are the possible responses applicable to this Service Request. Please see clause 3.5 for more details on processing patterns <ul style="list-style-type: none"> <li>• Acknowledgement</li> <li>• Service Response from Device – GBCSPayload</li> <li>• Service Response (from Device) - DSPScheduledMessage Format</li> <li>• Response to a Command for Local Delivery Request – LocalCommand Format</li> </ul> Also see Response Section below for details specific to this Request

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<b>Response Codes possible from this Service Request</b>	See clause 3.5.10 for Common Response Codes	
<b>GBCS Cross Reference</b>	Electricity	Gas
<b>GBCS MessageCode</b>	0x0037	0x0078
<b>GBCS Use Case</b>	ECS22b	GCS17

### 3.8.29.2 Specific Data Items for this Request

The data items applicable depend on whether the Service Request is executed on an On Demand or DCC Scheduled basis.

For execution of this Service Request as an On Demand Service, the ReadActiveImportProfileData XML element defines this Service Request.

#### ReadActiveImportProfileData (On Demand)

Data Item	Description / Allowable values	Type	Mandatory	Default	Units
ExecutionDateTime	A User shall only add this Data Item to the Service Request where they require the Service Request to be executed at a future date and time.  The UTC date and time the User requires the command to be executed on the Device Date-time in the future that is either $\leq$ current date + 30 days or the date = '3000-12-31T00:00:00Z'	xs:dateTime	No	None	UTC Date-Time
ReadLogPeriod	The Start and End Date-Times for which the data is required	sr:ReadLogPeriod (see clause 3.10.1.14)	Yes	None	N/A
KAPublicSecurityC redentials	The Key Agreement Public Security Credentials (of the requesting party) to be used where the Service Request is from an Unknown Remote Party (i.e. Other User or previous Responsible Supplier) with respect to the BusinessTargetID specified within the Service Request.	xs:base64Binary	User Role IS, GS, ED,GT: N/A  User Role <u>MDR</u> , OU: Yes  Also Mandatory for User Roles: <ul style="list-style-type: none"> <li>IS and GS that do not have their</li> </ul>	None	N/A

			credentials on the Device when sending the Service Request e.g. Old Suppliers		
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**Table 140 : ReadActiveImportProfileData (sr:ReadLogFutureDataAndURPCredentials) data items**

For execution of this Service Request as DCC Scheduled Service, The DSPReadActiveImportProfileData XML element defines this Service Request. The User shall include this XML element within the Service Request 5.1 (Create Schedule).

#### DSPReadActiveImportProfileData (Create Schedule)

Data Item	Description / Allowable values	Type	Mandatory	Default	Units
DSPReadActiveImportProfileData	The Start and End Date Offsets from the current date and the Start and End Times which together define the date-time period for which the data is required	sr:ReadLogPeriodOffset (See clause 3.10.1.15)	Yes	None	N/A

**Table 141 : DSPReadActiveImportProfileData (sr:ReadLogPeriodOffset) data items**

### **3.8.29.3 Specific Validation for this Request**

Specific validation is applied for this Request as below and see clause 3.2.5 for general validation applied to all Requests.

For On Demand Services, see clause 3.10.1 for Execution Date Time, Read Log Period, KAPublicSecurityCredentials and Device Applicability validation.

For DCC Scheduled Services, see clause 3.10.1 for Read Log Period Offset and Device Applicability validation.

**Amend Section 3.8.31 as follows:**

### 3.8.31 Read Export Profile Data

#### 3.8.31.1 Service Description

<b>Service Request Name</b>	ReadExportProfileData	
<b>Service Reference</b>	4.8	
<b>Service Reference Variant</b>	4.8.3	
<b>Eligible Users</b>	Export Supplier (ES) Electricity Distributor (ED) <a href="#">Meter Data Retriever (MDR)</a> Other User (OU)	
<b>Security Classification</b>	Non Critical	
<b>BusinessTargetID</b> - <b>Device Type</b> <b>applicable to this request</b>	Electricity Smart Meter (ESME)	
<b>Can be future dated?</b>	DSP	
<b>On Demand?</b>	Yes	
<b>Capable of being DCC Scheduled?</b>	Yes	
<b>Command Variants applicable to this Request (Only one populated)</b>	1 - Send (Non-Critical) 2 - Return for local delivery (Non-Critical) 3 - Send and Return for local delivery (Non-Critical)	
<b>Common Header Data Items</b>	See clause 3.4.1.1	
<b>Data Items Specific to this Service Request</b>	See Specific Data Items Below	
<b>Possible responses from this Service Request</b>	These are the possible responses applicable to this Service Request. Please see clause 3.5 for more details on processing patterns <ul style="list-style-type: none"> <li>Acknowledgement</li> <li>Service Response from Device – GBCSPayload</li> <li>Service Response (from Device) - DSPScheduledMessage Format</li> <li>Response to a Command for Local Delivery Request – LocalCommand Format</li> </ul> Also see Response Section below for details specific to this Request	
<b>Response Codes possible from this Service Request</b>	See clause 3.5.10 for Common Response Codes	
<b>GBCS Cross Reference</b>	Electricity	Gas
<b>GBCS MessageCode</b>	0x0036	N/A
<b>GBCS Use Case</b>	ECS22a	N/A

#### 3.8.31.2 Specific Data Items for this Request

The data items applicable depend on whether the Service Request is executed on an On Demand or DCC Scheduled basis.

For execution of this Service Request as an On Demand Service, the ReadExportProfileData XML element defines this Service Request.

#### ReadExportProfileData (On Demand)

Data Item	Description / Allowable values	Type	Mandatory	Default	Units
ExecutionDateTime	A User shall only add this Data Item to the Service Request where they require the Service Request to be executed at a future date and time.  The UTC date and time the User requires the command to be executed on the Device  Date-time in the future that is either <= current date + 30 days or the date = '3000-12-31T00:00:00Z'	xs:dateTime	No	None	UTC Date-Time
ReadLogPeriod	The Start and End Date-Times for which the data is required	sr:ReadLogPeriod (see clause 3.10.1.14)	Yes	None	N/A

**Table 144 : ReadExportProfileData (sr:ReadLogFutureData) data items**

For execution of this Service Request as DCC Scheduled Service, The DSPReadExportProfileData XML element defines this Service Request. The User shall include this XML element within the Service Request 5.1 (Create Schedule).

#### DSPReadExportProfileData (Create Schedule)

Data Item	Description / Allowable values	Type	Mandatory	Default	Units
DSPReadExportProfileData	The Start and End Date Offsets from the current date and the Start and End Times which together define the date-time period for which the data is required	sr:ReadLogPeriod Offset (See clause 3.10.1.15)	Yes	None	N/A

**Table 145 : DSPReadExportProfileData (sr: ReadLogPeriodOffset) data items**

### 3.8.31.3 Specific Validation for this Request

Specific validation is applied for this Request as below and see clause 3.2.5 for general validation applied to all Requests.

For On Demand Services, see clause 3.10.1 for Execution Date Time and Read Log Period validation.



For DCC Scheduled Services, see clause 3.10.1 for Read Log Period Offset validation

### Amend Section 3.8.41 as follows:

## 3.8.41 Retrieve Daily Consumption Log

### 3.8.41.1 Service Description

<b>Service Request Name</b>	RetrieveDailyConsumptionLog	
<b>Service Reference</b>	4.17	
<b>Service Reference Variant</b>	4.17	
<b>Eligible Users</b>	Import Supplier (IS) Gas Supplier (GS) Electricity Distributor (ED) Gas Transporter (GT) <u>Meter Data Retriever (MDR)</u> Other User (OU)	
<b>Security Classification</b>	Non Critical	
<b>BusinessTargetID</b> - <b>Device Type</b> <b>applicable to this request</b>	Electricity Smart Meter (ESME) Gas Proxy Function (GPF)	
<b>Can be future dated?</b>	DSP	
<b>On Demand?</b>	Yes	
<b>Capable of being DCC Scheduled?</b>	Yes	
<b>Command Variants applicable to this Request (Only one populated)</b>	1 - Send (Non-Critical) 2 - Return for local delivery (Non-Critical) 3 - Send and Return for local delivery (Non-Critical)	
<b>Common Header Data Items</b>	See clause 3.4.1.1	
<b>Data Items Specific to this Service Request</b>	See Specific Data Items Below	
<b>Possible responses from this Service Request</b>	These are the possible responses applicable to this Service Request. Please see clause 3.5 for more details on processing patterns <ul style="list-style-type: none"> <li>• Acknowledgement</li> <li>• Service Response from Device – GBCSPayload</li> <li>• Service Response (from Device) - DSPScheduledMessage Format</li> <li>• Response to a Command for Local Delivery Request – LocalCommand Format</li> </ul> Also see Response Section below for details specific to this Request	
<b>Response Codes possible from this Service Request</b>	See clause 3.5.10 for Common Response Codes	
<b>GBCS Cross Reference</b>	Electricity	Gas
<b>GBCS MessageCode</b>	0x0060	0x00A0

GBCS Use Case	ECS66	GCS61
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### 3.8.41.2 Specific Data Items for this Request

The data items applicable depend on whether the Service Request is executed on an On Demand or DCC Scheduled basis.

For execution of this Service Request as an On Demand Service, the RetrieveDailyConsumptionLog XML element defines this Service Request.

#### RetrieveDailyConsumptionLog (On Demand)

Data Item	Description / Allowable values	Type	Mandatory	Default	Units
ExecutionDateTime	A User shall only add this Data Item to the Service Request where they require the Service Request to be executed at a future date and time.  The UTC date and time the User requires the command to be executed on the Device Date-time in the future that is either $\leq$ current date + 30 days or the date = '3000-12-31T00:00:00Z'	xs:dateTime	No	None	UTC Date-Time
ReadLogPeriod	The Start and End Date-Times for which the data is required. The daily log entry is created and dated at midnight and therefore the Start and End Date-Times must encompass at least one midnight time.	sr:ReadLogPeriod (see clause 3.10.1.14)	Yes	None	N/A
KAPublicSecurityCredentials	The Key Agreement Public Security Credentials (of the requesting party) to be used where the request is from an Unknown Remote Party (i.e. Other User) with respect to the BusinessTargetID specified within the Service Request.	sr:Certificate (xs:base64Binary)	User Role ED, GT: N/A  User Role <u>MDR</u> , OU: Yes  User Roles IS/GS that do not have their credentials on the Device when sending the Service Request e.g. Old Suppliers	None	N/A

			Yes		
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**Table 154 : RetrieveDailyConsumptionLog (sr:ReadLogFutureDataAndURPCredentials) data items**

For execution of this Service Request as DCC Scheduled Service, The DSPRetrieveDailyConsumptionLog XML element defines this Service Request. The User shall include this XML element within the Service Request 5.1 (Create Schedule).

**DSPRetrieveDailyConsumptionLog (Create Schedule)**

Data Item	Description / Allowable values	Type	Mandatory	Default	Units
DSPRetrieveDailyConsumptionLog	The Start and End Date Offsets from the current date and the Start and End Times which together define the date-time period for which the data is required	sr:ReadLogPeriodOffset (See clause 3.10.1.15)	Yes	None	N/A

**Table 155 : DSPRetrieveDailyConsumptionLog (sr:ReadLogPeriodOffset) data items**

### 3.8.41.3 Specific Validation for this Request

Specific validation is applied for this Request as below and see clause 3.2.5 for general validation applied to all Requests.

For On Demand Services, see clause 3.10.1 for Execution Date Time, Read Log Period and KAPublicSecurityCredentials validation.

For DCC Scheduled Services, see clause 3.10.1 for Read Log Period Offset validation

Response Code	Response Code Description
E041701	The ReadLogPeriod (or ReadLogPeriodOffset) specified within the Service Request does not span at least 1 midnight

## Amend Section 3.8.43 as follows:

### 3.8.43 Create Schedule

#### 3.8.43.1 Service Description

Service Request Name	CreateSchedule
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<b>Service Reference</b>	5.1	
<b>Service Reference Variant</b>	5.1	
<b>Eligible Users</b>	Import Supplier (IS) Export Supplier (ES) Gas Supplier (GS) Electricity Distributor (ED) Gas Transporter (GT) <u>Meter Data Retriever (MDR)</u> Other User (OU)	
<b>Security Classification</b>	Non Critical	
<b>BusinessTargetID</b> - <b>Device Type applicable to this request</b>	DCC Access Control Broker	
<b>Can be future dated?</b>	No	
<b>On Demand?</b>	No	
<b>Capable of being DCC Scheduled?</b>	No	
<b>Command Variants applicable to this Request - (Only one populated)</b>	8 - DCC Only	
<b>Common Header Data Items</b>	See clause 3.4.1.1	
<b>Data Items Specific to this Service Request</b>	See Specific Data Items Below	
<b>Possible responses from this Service Request</b>	These are the possible responses applicable to this Service Request. Please see clause 3.5 for more details on processing patterns <ul style="list-style-type: none"> <li>• Response to a Non-Device Service Request</li> </ul> Also see Response Section below for details specific to this Request	
<b>Response Codes possible from this Service Request</b>	See clause 3.5.10 for Common Response Codes	
<b>GBCS Cross Reference</b>	Electricity	Gas
<b>GBCS MessageCode</b>	N/A	N/A
<b>GBCS Use Case</b>	N/A	N/A

### 3.8.43.2 Specific Data Items for this Request

#### CreateSchedule Definition

Data Item	Description / Valid Set	Type	Mandatory	Default	Units
ScheduleFrequency	<p>The frequency of which the required service reference is executed</p> <p>Valid set</p> <ul style="list-style-type: none"> <li>Daily</li> <li>Weekly (The specified Service Request will be scheduled once a week, on the Schedule Start Date day of the week.)</li> <li>Monthly (The specified Service Request will be scheduled once a month, on the Schedule Start Date day of the month, where possible. For those months where the Schedule Start Date day of the month doesn't exist, the Service Request will be scheduled on the last day of that month.)</li> <li>Quarterly (The specified Service Request will be scheduled once every three months, with Scheduled Start Date as for Monthly.)</li> <li>Half-Yearly (The specified Service Request will be scheduled once every six months, with Scheduled Start Date as for Monthly.)</li> <li>Yearly (The specified Service Request will be scheduled once every 12 months, with Scheduled Start Date as for Monthly.)</li> </ul>	sr:ScheduleFrequency (Restriction of xs:string (Enumeration))	Yes	None	N/A
ScheduleStartDate	<p>The UTC date that the scheduled repeating request is required to commence from</p> <ul style="list-style-type: none"> <li>Valid date in the future</li> </ul>	xs:date	Yes	None	UTC Date
ScheduleEndDate	<p>The UTC date that the scheduled repeating request is required to cease, or if not present then the repeating schedule shall remain in force until deleted by the User or by the DCC Systems, e.g. because of Device Decommission</p> <ul style="list-style-type: none"> <li>Valid date in the future <math>\geq</math> ScheduleStartDate</li> </ul>	xs:date	<p>User Role IS, GS, ES, ED, GT, <u>MDR</u>: No</p> <p>User Role OU: Yes</p>	None	UTC Date

ScheduleExecutionStartTime	The UTC start time after which a scheduled Command (invoked by the schedule) may be run <ul style="list-style-type: none"> <li>Valid Time</li> </ul>	xs:time	No	00:01:00	UTC Time
KAPublicSecurityCredential	The Key Agreement Public Security Credentials, associated with the User submitting the Request that will be relied upon for Sensitive data Responses. Only applicable to those Scheduled Service Requests that can be submitted by User Roles for which the Device doesn't hold Security Credentials.	sr:Certificate (xs:base64Binary)	User Role IS, ES, ED: N/A User Role GT (where Response includes sensitive data and Device Type = Gas Smart Meter): Yes User Role <u>MDR</u> , OU (where Response includes sensitive data): Yes	None	N/A
DSPScheduledServiceReference	Reference of the Service Request to be Scheduled.  Valid Set: see clause 0 , where DCC Scheduled column in table is set to "Yes"	sr:DSPScheduledServiceReference (Restriction of xs:string (Enumeration))	Yes	None	N/A
DSPScheduledServiceReferenceVariant	Reference Variant of the Service Request to be Scheduled.  Valid Set: see clause 0 , where DCC Scheduled column in table is set to "Yes"	sr:DSPScheduledServiceReferenceVariant (Restriction of xs:string (Enumeration))	Yes	None	N/A
DeviceID	This is the Device ID to which the DCC Schedule is targeted.	sr:EUI (See clause <b>Error! Reference source not found.</b> )	Yes	None	N/A

Choice of Service Request XML Element to be Scheduled	Name and Request Data Items corresponding to DSPScheduledServiceReferenceVariant to be Scheduled, choice of:		Yes	None	N/A
	DSPRetrieveImportDailyReadLog DSPRetrieveExportDailyReadLog DSPReadActiveImportProfileData DSPReadReactiveImportProfileData DSPReadExportProfileData DSPReadNetworkData DSPReadPrepaymentDailyReadLog DSPRetrieveDailyConsumptionLog	sr:ReadLogPeriodOffset			
	<u>DSPReadInstantaneousImportRegisters</u> DSPReadMaximumDemandImportRegisters DSPReadMaximumDemandExportRegisters DSPReadLoadLimitData DSPReadActivePowerImport	sr:DSPReadData			
	DSPRecordNetworkDataGAS	sr:RecordNetworkDataGAS			

**Table 157 : CreateSchedule (sr:DSPSchedule) data items**

Each User shall set up separate Schedule IDs for each separate Request that they require to be scheduled by the DCC.

### 3.8.43.3 Specific Validation for this Request

See clauses [3.2.4](#) and [3.2.5](#) for general validation applied to all Requests (applicable to the Create Schedule and to the Scheduled Service Request) and clause 3.10.2 for Create Schedule Device ID existence validation.

Response Code	Response Code Description
E050101	The Schedule Start Date is not a future date
E050102	The Schedule End Date is mandatory for User Role “OU”
E050103	The Schedule End Date is earlier than the Schedule Start Date
E050105	The Service Request format does not match the Service Reference Variant in the DCC Schedule. The combination of DSPScheduledServiceReference and DSPScheduledServiceReferenceVariant is not valid
E050107	One of: <ul style="list-style-type: none"> <li>User’s Role is Unknown Remote Party to the Device and the DCC Scheduled Service Response contains Sensitive data and Request does not include the User’s Key Agreement Public Security Credentials</li> </ul> Or

	<ul style="list-style-type: none"> <li>User's Role is Known Remote Party to the Device and / or the DCC Scheduled Service Response doesn't contain Sensitive data and Request includes the User's Key Agreement Public Security Credentials</li> </ul>
E050108	Unable to create Schedule, because the User already owns 99 active DSP Schedules for the Device
E050109	The DSP Service Request format doesn't match the DSP Service Reference Variant in the Create Schedule message

### 3.8.43.4 *Specific Data Items in the Response*

The DCC shall return the following data items which are specific to this Service Request where a DCC Schedule is successfully created within the DCC Systems:

#### DSPScheduleID Definition

Data Item	Description / Valid Set	Type	Mandatory	Default	Units
DSPScheduleID	Schedule ID generated by the DCC Systems Valid Set: > 0	sr:scheduleID	Yes	None	N/A

**Table 158 : DSPScheduleID definition**

**Amend Section 3.8.44 as follows:**

### 3.8.44 Read Schedule

#### 3.8.44.1 *Service Description*

<b>Service Request Name</b>	ReadSchedule
<b>Service Reference</b>	5.2
<b>Service Reference Variant</b>	5.2
<b>Eligible Users</b>	Import Supplier (IS) Export Supplier (ES) Gas Supplier (GS) Electricity Distributor (ED) Gas Transporter (GT) <u>Meter Data Retriever (MDR)</u> Other User (OU)
<b>Security Classification</b>	Non Critical
<b>BusinessTargetID</b> - <b>Device Type applicable to this request</b>	DCC Access Control Broker
<b>Can be future dated?</b>	No



<b>On Demand?</b>	No	
<b>Capable of being DCC Scheduled?</b>	No	
<b>Command Variants applicable to this Request - (Only one populated)</b>	8 - DCC Only	
<b>Common Header Data Items</b>	See clause 3.4.1.1	
<b>Data Items Specific to this Service Request</b>	See Specific Data Items Below	
<b>Possible responses from this Service Request</b>	These are the possible responses applicable to this Service Request. Please see clause 3.5 for more details on processing patterns <ul style="list-style-type: none"> <li>Response to a Non-Device Service Request</li> </ul> Also see Response Section below for details specific to this Request	
<b>Response Codes possible from this Service Request</b>	See clause 3.5.10 for Common Response Codes	
<b>GBCS Cross Reference</b>	Electricity	Gas
<b>GBCS MessageCode</b>	N/A	N/A
<b>GBCS Use Case</b>	N/A	N/A

### 3.8.44.2 Specific Data Items for this Request

#### ReadSchedule Definition

Data Item	Description / Valid Set	Type	Mandatory	Default	Units
DSPScheduleID	Schedule ID generated by the DCC Systems when the schedule was created Valid Set: > 0	sr:scheduleID	No  Either DSPScheduleID or DeviceID must be present	None	N/A
DeviceID	This is the Device ID for which schedules are to be read	sr:EUI (See clause 3.10.1.3)	No  Either DSPScheduleID or DeviceID must be present	None	N/A

**Table 159 : ReadSchedule (sr:ReadSchedule) data items**

Service Request includes a choice so one of these two data items is mandatory

### 3.8.44.3 Specific Validation for this Request

See clause 3.2.5 for general validation applied to all Requests.

Response Code	Response Code Description
E050201	The DSPScheduleID does not exist or it is not owned by the User submitting the Service Request
E050202	The Device ID does not exist.

W050201	The User submitting the Service Request does not have any schedules created against the specified Device.
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### 3.8.44.4 Specific Data Items in the Response

This Service Response is defined in the XSD ResponseMessage DSPSchedulesRead XML element, which can included between 1 and 99 DSP Schedules set up by the requesting User and for each DCC Schedule it contains the DSP Schedule ID and the DCC Schedule details.

#### DSPSchedulesRead Definition

Data Item	Description / Valid Set	Type	Mandatory	Default	Units
DSPSchedules	Details of all the Schedules read	sr:DSPSchedules maxOccurs = 99	Yes	None	N/A

**Table 160 : DSPSchedulesRead (sr:DSPSchedulesRead) data items**

#### DSPSchedules Definition

Data Item	Description / Valid Set	Type	Mandatory	Default	Units
DSPScheduleID	Schedule ID generated by the DCC Systems when the schedule was created Valid Set: > 0	sr:scheduleID	Yes	None	N/A
DSPScheduleDetails	Schedule details provided when the schedule was created	sr:DSPSchedule see 0	Yes	None	N/A

**Table 161 : ReadSchedules (sr:ReadSchedules) data items**

**Amend Section 3.8.45 as follows:**

### 3.8.45 Delete Schedule

#### 3.8.45.1 Service Description

Service Request Name	DeleteSchedule
Service Reference	5.3
Service Reference Variant	5.3
Eligible Users	Import Supplier (IS) Export Supplier (ES) Gas Supplier (GS) Electricity Distributor (ED) Gas Transporter (GT) <u>Meter Data Retriever (MDR)</u> Other User (OU)
Security Classification	Non Critical

<b>BusinessTargetID</b> - Device Type applicable to this request	DCC Access Control Broker	
<b>Can be future dated?</b>	No	
<b>On Demand?</b>	No	
<b>Capable of being DCC Scheduled?</b>	No	
<b>Command Variants applicable to this Request - (Only one populated)</b>	8 - DCC Only	
<b>Common Header Data Items</b>	See clause 3.4.1.1	
<b>Data Items Specific to this Service Request</b>	See Specific Data Items Below	
<b>Possible responses from this Service Request</b>	These are the possible responses applicable to this Service Request. Please see clause 3.5 for more details on processing patterns <ul style="list-style-type: none"> <li>Acknowledgement</li> </ul> Also see Response Section below for details specific to this Request	
<b>Response Codes possible from this Service Request</b>	See clause 3.5.10 for Common Response Codes	
<b>GBCS Cross Reference</b>	Electricity	Gas
<b>GBCS MessageCode</b>	N/A	N/A
<b>GBCS Use Case</b>	N/A	N/A

### 3.8.45.2 Specific Data Items for this Request

#### DeleteSchedule Definition

Data Item	Description / Valid Set	Type	Mandatory	Default	Units
DSPScheduleID	Schedule ID generated by the DCC System when the schedule was created Valid Set: > 0	sr:scheduleID	No Either DSPScheduleID or DeviceId must be present	None	N/A
DeviceID	This is the Device ID for which all schedules associated with the Request sender (User ID) are to be deleted	sr:EUI (See clause 3.10.1.3)	No Either DSPScheduleID or DeviceId must be present	None	N/A

**Table 162 : DeleteSchedule (sr:DeleteSchedule) data items**

Service Request includes a choice so one of these two data items is mandatory

### 3.8.45.3 Specific Validation for this Request

See clause 3.2.5 for general validation applied to all Requests.

Response Code	Response Code Description
E050301	The DSPScheduleID does not exist or it is not owned by the User submitting the Service Request
E050302	The Device ID does not exist.
W050301	The User does not have any schedules created against the specified Device.

#### **3.8.45.4      *Specific Data Items in the response***

No additional specific data items returned in the Service Response on top of the data items defined in clause 3.5 Responses.

### Amend Section 3.8.104 as follows:

#### 3.8.104 Read Inventory

##### 3.8.104.1 Service Description

Service Request Name	ReadInventory	
Service Reference	8.2	
Service Reference Variant	8.2	
Eligible Users	Import Supplier (IS) Export Supplier (ES) Gas Supplier (GS) Registered Supplier Agent (RSA) Electricity Distributor (ED) Gas Transporter (GT) <u>Meter Data Retriever (MDR)</u> Other User (OU)	
Security Classification	Non Critical	
BusinessTargetID - Device Type applicable to this request	DCC Access Control Broker	
Can be future dated?	No	
On Demand?	No	
Capable of being DCC Scheduled?	No	
Command Variants applicable to this Request (Only one populated)	8 – DCC Only	
Common Header Data Items	See clause 3.4.1.1	
Data Items Specific to this Service Request	See Specific Data Items Below	
Possible responses from this Service Request	These are the possible responses applicable to this Service Request. Please see clause 3.5 for more details on processing patterns <ul style="list-style-type: none"> <li>Response to a Non-Device Service Request</li> </ul> Also see Response Section below for details specific to this request	
Response Codes possible from this Service Request	See clause 3.5.10 for Common Response Codes	
GBCS Cross Reference	Electricity	Gas
GBCS MessageCode	N/A	N/A
GBCS Use Case	N/A	N/A

##### 3.8.104.2 Specific Data Items for this Request

###### ReadInventory Definition

Data Item	Description / Values	Type	Mandatory	Default	Units
UPRN	Unique Property Reference Number	sr:UPRN (Restriction of	No	None	N/A

		xs:positiveInteger (totalDigits = 12))			
DeviceID	Device ID of a device in the premises	sr:EUI (See clause 3.10.1.3)	No	None	N/A
MPxN	MPAN or MPRN associated to a Device in the premises	sr:ImportMPxN (Restriction of xs:string (minLength = 1 maxLength = 13))	No	None	N/A
PropertyFilter	PostCode and Address identifier that uniquely identify an address	sr:PropertyFilter	No	None	N/A

**Table 225 : ReadInventory (sr:ReadInventory) data items**

#### PropertyFilter Definition

Data Item	Description / Values	Type	Mandatory	Default	Units
PostCode	Post Code of Metering Point  This search criteria is case insensitive	sr:PostCode (Restriction of xs:string (minLength = 6 maxLength = 8))	Yes	None	N/A
AddressIdentifier	Address Identifier (house number or house name), that combined with the Post Code, allows the identification of the premises  This search criteria is case insensitive	sr:AddressIdentifier (Restriction of xs:string (maxLength = 30))	Yes	None	N/A

**Table 226 : PropertyFilter (sr:PropertyFilter) data items**

### 3.8.104.3 Specific Validation for this Request

See clause 3.2.5 for general validation applied to all Requests and clause 3.10.2 for Device Existence validation.

For this Request, the general Authorisation Checks as defined below shall not be carried out.

- a Response Code of E4 as defined in clause 3.2.4 “Verify that the User, in the User Role defined in the Service Request is a Eligible User for the Device” or
- a Response Code of E5 as defined in clause 3.2.4 “Verify that the Service Request or Signed Pre-Command is applicable to the Device status”

Response Code	Response Code Description
E080201	The Request does not uniquely identify a Premises
E080202	The Premises do not contain any Devices

### 3.8.104.4 Specific Data Items in the Response

This Service Response is defined in the XSD ResponseMessage DSPInventory XML element, which contains the DSP Inventory details applicable to a single premises or Device.

The DCC shall return the following data items which are specific to this Service Response:

Data Item	Description / Values	Type	Mandatory	Default	Units
Device	Minimum 1 and maximum 17 Devices	sr:Device maxOccurs = 17	Yes	None	N/A
Per Device (complex type sr:Device) found at that Smart Metering System:					
DeviceID	Device ID of a Device in the Smart Metering System	sr:EUI (See clause 3.10.1.3)	Yes	None	N/A
DeviceType	The Type of device Valid set: <ul style="list-style-type: none"> <li>• ESME</li> <li>• GSME</li> <li>• GPF</li> <li>• CHF</li> <li>• HCALCS</li> <li>• PPMID</li> <li>• IHD</li> <li>• CAD</li> </ul>	sr:DeviceType (Restriction of xs:string (Enumeration))	Yes	None	N/A
DeviceStatus	An indicator giving the status of the device Valid set: <ul style="list-style-type: none"> <li>• Pending</li> <li>• Whitelisted</li> <li>• InstalledNotCommissioned</li> <li>• Commissioned</li> <li>• Decommissioned</li> <li>• Withdrawn</li> <li>• Suspended</li> <li>• Recovery</li> <li>• Recovered</li> </ul> Device Status is not applicable to Type 2 Devices, i.e. IHD and CAD	sr:DeviceStatus (Restriction of xs:string (Enumeration))	Device Type = Type 2(IHD, CAD): N/A  Otherwise: Yes	None	N/A

Data Item	Description / Values	Type	Mandatory	Default	Units
DeviceManufacturer	<p>The name of the Device's Manufacturer</p> <p>With the exception of IHD and CAD:</p> <ul style="list-style-type: none"> <li>The Device Manufacturer is the &lt;device_model_manufacturer_identifier&gt; from the CPL and presented in the format XXXX where each X is one of the characters 0 to 9 or A to F</li> <li>This data item matches the value on the CPL</li> </ul> <p>For IHD and CAD this data item is free text</p>	sr:DeviceManufacturer (Restriction of xs:string (maxLength = 30))	Yes	None	N/A
DeviceModel	<p>The specific model of the device, as used by the manufacturer.</p> <p>With the exception of IHD and CAD:</p> <ul style="list-style-type: none"> <li>The Device Model is the concatenation of &lt;device_model.model_identifier&gt;&lt;device_model.hardware_version.version&gt;&lt;device_model.hardware_version.revision&gt; from the CPL and presented in the format XXXXXXXX where each X is one of the characters 0 to 9 or A to F</li> </ul> <p>Where:</p> <ul style="list-style-type: none"> <li>the first 4 characters are the model identifier</li> <li>the next 2 characters are the hardware version.version</li> <li>the final 2 characters are the hardware version.revision</li> <li>This data item matches the value on the CPL</li> </ul> <p>For IHD and CAD this data item is free text</p>	sr:DeviceModel (Restriction of xs:string (maxLength = 30))	Yes	None	N/A



Data Item	Description / Values	Type	Mandatory	Default	Units
SMETSCHTSVersion	The version of SMETS or CHTS that the device complies with. This should align with the SMETS_CHTS version_number value contained on the CPL.	sr:SMETSCHYSVersion (Restriction of xs:string (minLength = 1, maxLength = 20))	Device Type = CAD: N/A  Otherwise: Yes	None	N/A
DeviceFirmwareVersion	The operational version of Firmware of the Device  The Firmware version as held in the CPL and presented in the format XXXXXXXX where each X is one of the characters 0 to 9 or A to F.  This data item matches the value on the CPLA  The binary value shall be four octets in length and shall correspond to the File Version field in the ZSE OTA Header structure.	Restriction of xs:string (minLength = 1, maxLength = 8)	Device includes Firmware: Yes  Otherwise: N/A	None	N/A
DeviceFirmwareVersionStatus	The status of the Firmware Version Valid set: <ul style="list-style-type: none"> <li>Active</li> <li>Cancelled</li> <li>Expired</li> <li>Withdrawn</li> </ul> The status displayed in DeviceFirmwareVersionStatus maps to the status on the Central Products List as per the Data Item values to CPL values Mapping table below:	sr:FirmwareVersionStatus (Restriction of xs:string (Enumeration))	Device includes Firmware: Yes  Otherwise: N/A	None	N/A
CPLStatus	The CPL Assurance Certificate Status Valid set: <ul style="list-style-type: none"> <li>Active</li> <li>Cancelled</li> <li>Expired</li> <li>Withdrawn</li> </ul> The status displayed in CPL Status maps to the status on the Central Products List as per the Data Item values to CPL values Mapping table below:	sr:CPLStatus (Restriction of xs:string (Enumeration))	Device includes Firmware: Yes  Otherwise: N/A	None	N/A

Data Item	Description / Values	Type	Mandatory	Default	Units
DateCommissioned	Where applicable, the date when the Device was commissioned	xs:date	Device Type = IHD,CAD: N/A  Device has been commissioned: Yes  Otherwise: No	None	UTC Date
ImportMPxN	The reference number identifying an import electricity or a gas metering point	sr:ImportMPxN  Restriction of xs:string (minLength = 1, maxLength = 13)	Device Type = ESME, GSME: No  Otherwise: N/A	None	N/A
SecondaryImportMPAN	The reference number identifying a Twin Element Import electricity secondary metering point	sr:MPAN  Restriction of xs:string (minLength = 13, maxLength = 13)	Device Type = ESME and ESME Variant = B: No  Otherwise: N/A	None	N/A
ExportMPAN	The reference number identifying an export electricity metering point	sr:MPAN  Restriction of xs:string (minLength = 13, maxLength = 13)	Device Type = ESME and includes Export capability: No  Otherwise: N/A	None	N/A
ESMEVariant	See Table 229 for mapping and valid set.  Values including F or G are not applicable to Devices prior to GBCS v4.0	sr:ESMEVariant Restriction of xs:string (Enumeration)	Device Type = ESME: Yes  Otherwise: N/A	None	N/A
UPRN	Unique Property Reference Number	sr:URPN (Restriction of xs:positiveInteger (totalDigits = 12))	No	None	N/A

Data Item	Description / Values	Type	Mandatory	Default	Units
PropertyFilter	Post Code and Address Identifier that uniquely identifies an address	sr:PropertyFilter	No	None	N/A
CSPRegion	The CSP Region the Smart Meter System is associated with Valid set: <ul style="list-style-type: none"> <li>North</li> <li>Central</li> <li>South</li> <li>Unknown</li> </ul>	sr:CSPRegion (Restriction of xs:string (Enumeration))	No	None	N/A
DeviceGBCSVersion	The operational version of GBCS as recorded in the SMI for the Device.  The version number format will align with the CPL. For example 1.0 or 2.0	xs:string	Device includes Firmware: Yes Otherwise: N/A	None	N/A
HANVariant	The Device's HAN Variant. Valid Set: <ul style="list-style-type: none"> <li>Single Band (2.4GHz only)</li> <li>Dual Band (868MHz and 2.4GHz)</li> <li>Unknown HAN Variant</li> </ul> (The CPL CHF Device Manufacturer and Device Model define its HAN Variant and the DCC Systems hold this relationship. When a CH is pre-notified to the DCC, its CHF HAN Variant is set based on its Device Manufacturer and Device Model)	xs:string	DeviceType = CHF: Yes Otherwise: N/A	None	N/A

**Table 227 : Device (sr:Device) data items**

Data Item values to CPL values mapping.

Status value on the Central Products List (CPL)	DeviceFirmwareVersionStatus value	CPLStatus value
Current	Active	Active
Removed	Cancelled	Cancelled
No value defined	Expired (not currently used)	Expired (not currently used)
No value defined	Withdrawn (not currently used)	Withdrawn (not currently used)

**Table 228 : Data Item values to CPL values Mapping**

DUIS device type values to CPL values mapping.

Central Products List (CPL) device type	DUIS device type	DUIS ESMEVariant Valid set
Single Element Electricity Metering Equipment	ESME	<ul style="list-style-type: none"> <li>• A. Single Element ESME</li> <li>• AD. Single Element ESME with ALCS</li> <li>• ADE. Single Element ESME with ALCS and Boost Function</li> <li>• ADF. Single Element ESME with ALCS and APC</li> <li>• ADEF. Single Element ESME with ALCS, Boost Function and APC</li> <li>• AEF. Single Element ESME with Boost Function and APC</li> <li>• AF. Single Element ESME with APC</li> <li>• AG. SAPC</li> <li>• AEG. SAPC with Boost Function</li> <li>• ADG. SAPC with ALCS</li> <li>• ADEG. SAPC with ALCS and Boost Function <sup>1</sup></li> </ul>
Twin Element Electricity Metering Equipment	ESME	<ul style="list-style-type: none"> <li>• B. Twin Element ESME</li> <li>• BD. Twin Element ESME with ALCS</li> <li>• BDE. Twin Element ESME with ALCS and Boost Function</li> <li>• BF. Twin Element ESME with APC</li> <li>• BDF. Twin Element ESME with ALCS and APC</li> <li>• BDEF. Twin Element ESME with ALCS, Boost Function and APC</li> <li>• BEF. Twin Element ESME with Boost Function and APC</li> </ul>
Polyphase Element Electricity Metering Equipment	ESME	<ul style="list-style-type: none"> <li>• C. Polyphase ESME</li> <li>• CD. Polyphase ESME with ALCS</li> <li>• CDE. Polyphase ESME with ALCS and Boost Function</li> <li>• CDEF. Polyphase with ALCS, Boost Function and APC</li> <li>• CF. Polyphase with APC</li> <li>• CDF. Polyphase with ALCS and APC</li> <li>• CEF. Polyphase with Boost Function and APC</li> </ul>
Gas Smart Meter	GSME	N/A
Prepayment Interface Device	PPMID	N/A
HAN Connected Auxiliary Load Control Switch	HCALCS	N/A

**Table 229 : Device type to CPL values mapping**

**The embedded XML schema in Annex A will be updated in line with the proposed text updates at a later date**

<sup>1</sup> 'SAPC is defined in SMETS2 Section 9 Part G1; an ALCS forming part of an SAPC is defined in SMETS2 Section 9 Part G2 and a Boost Function forming part of an SAPC is defined in SMETS2 Section 9 Part G3.