

# **ENERGY**

## **SMART METERS**

### **DRAFT MODIFICATIONS TO THE STANDARD CONDITIONS OF ELECTRICITY AND GAS SUPPLY LICENCES, THE SMART METER COMMUNICATION LICENCES AND THE SMART ENERGY CODE (SMART METERS No. 3 of 2018)**

Presented to Parliament pursuant to section 89 of the Energy Act 2008

*Draft modifications to the standard conditions of Electricity and Gas Supply Licences, the Smart Meter Communication Licences and the Smart Energy Code laid before Parliament under section 89(3) of the Energy Act 2008; draft to lie for forty days pursuant to section 89(4) of that Act, during which period either House of Parliament may resolve that the licence modification or the modifications to the Smart Energy Code not be made.*

## **ENERGY**

### **SMART METERS**

#### **DRAFT MODIFICATIONS TO THE STANDARD CONDITIONS OF ELECTRICITY AND GAS SUPPLY LICENCES, THE SMART METER COMMUNICATIONS LICENCES AND THE SMART ENERGY CODE (SMART METERS No. 3 of 2018)**

The Secretary of State makes the following licence modifications and modifications to the Smart Energy Code in exercise of the powers conferred by section 88(1) of the Energy Act 2008 ("the Act").

The Secretary of State has consulted the holders of any licence being modified, the Gas and Electricity Markets Authority and such other persons as the Secretary of State considered appropriate in accordance with section 89(1) of the Act.

A draft of these modifications has been laid before Parliament in accordance with section 89(3) of the Act. Neither House of Parliament resolved, within the 40-day period referred to in section 89(4) of the Act, that the Secretary of State should not make the modifications.

#### **Interpretation**

1 In these modifications –

- (a) "Smart Energy Code" means the document of that title required to be maintained and in force in accordance with condition 21 of the smart meter communication licences; and
- (b) "smart meter communication licences" means –
  - (i) the licence granted to Smart DCC Limited on 20 September 2013 pursuant to sections 7AB(2) and (4) of the Gas Act 1986; and
  - (ii) the licence granted to Smart DCC Limited on 20 September 2013 pursuant to sections 6(1A) and (1C) of the Electricity Act 1989.

#### **Modifications to the standard conditions of electricity supply licences**

- 2 The standard conditions of electricity supply licences granted or treated as granted under section 6(1)(d) of the Electricity Act 1989 are modified, in accordance with paragraphs 3 to 5 below, with effect from the day after the day on which this instrument is made.
- 3 In standard condition 1, in paragraph 1.3, insert in alphabetical order the following new definition –

**"SMETS2+ Smart Metering System** means a Smart Metering System that meets the requirements of a Version of the SME Technical Specification with a Principal Version number that is greater than 1."

4 In standard condition 52 –

- (a) after the heading "**PPMID**" insert a new paragraph 52.1 as follows –

"52.1 This Condition applies only in respect of Prepayment Meter Interface Devices which form part of a SMETS2+ Smart Metering System.";
- (b) renumber existing paragraphs 52.1 to 52.6 as paragraphs 52.2 to 52.7 respectively;
- (c) in renumbered paragraph 52.2 –
  - (i) after "through the HAN to a device forming part of the" insert "SMETS2+";
  - (ii) insert a new sub-paragraph (a) as follows –

"(a) a Version with a Principal Version number that is greater than 1;"
  - (iii) renumber existing sub-paragraphs (a) to (d) as sub-paragraphs (b) to (e) respectively;
  - (iv) in renumbered sub-paragraph (d), after "in accordance with which that" insert "SMETS2+"; and
  - (v) in renumbered sub-paragraph (e), after "where the" insert "SMETS2+";
- (d) in renumbered paragraph 52.3, after the "requirement in paragraph" delete "52.1 is subject to paragraph 52.3" and insert "52.2 is subject to paragraph 52.4";
- (e) in renumbered paragraph 52.4 –
  - (i) after "particular Version of the PPMID Technical Specification" insert "with a Principal Version number that is greater than 1"; and
  - (ii) after "meet the requirements of paragraph" delete "52.1" and insert "52.2";
- (f) in renumbered paragraph 52.5 –
  - (i) after "through the HAN to a device forming part of the" insert "SMETS2+";
  - (ii) insert a new sub-paragraph (a) as follows –

"(a) a Version with a Principal Version number that is greater than 1;"
  - (iii) renumber existing sub-paragraphs (a) to (d) as sub-paragraphs (b) to (e) respectively;
  - (iv) in renumbered sub-paragraph (d), after "in accordance with which that" insert "SMETS2+"; and

- (v) in renumbered sub-paragraph (e), after "where the" insert "SMETS2+";
- (g) in renumbered paragraph 52.6, after the "requirement in paragraph" delete "52.4 is subject to paragraph 52.6" and insert "52.5 is subject to paragraph 52.7"; and
- (h) in renumbered paragraph 52.7 –
  - (i) after "particular Version of the SME Technical Specification" insert "with a Principal Version number that is greater than 1"; and
  - (ii) after "meet the requirements of paragraph" delete "52.4" and insert "52.5".

5 In standard condition 55 –

- (a) in paragraph 55.1(b), after "the parts of one or more" insert "SMETS2+";
- (b) in paragraph 55.6(g) –
  - (i) in sub-paragraph (i), after "associated with" insert "SMETS2+"; and
  - (ii) in sub-paragraph (ii), after "associated with" insert "SMETS2+";
- (c) in paragraph 55.8 –
  - (i) after "in relation to any" insert "SMETS2+"; and
  - (ii) in sub-paragraph (b), after "the parts of one or more" insert "SMETS2+";
- (d) in paragraph 55.9(b), after "is to be, installed a" insert "SMETS2+"; and
- (e) in paragraph 55.12(b), after "made between the parts of a" delete "Smart Metering System, or between part of a Smart Metering System and another" and insert "SMETS2+ Smart Metering System, or between part of a SMETS2+ Smart Metering System and another SMETS2+".

**Modifications to the standard conditions of gas supply licences**

6 The standard conditions of gas supply licences granted or treated as granted under section 7A(1) of the Gas Act 1986 are modified, in accordance with paragraphs 7 to 9 below, with effect from the day after the day on which this instrument is made.

7 In standard condition 1, in paragraph 1.2, insert in alphabetical order the following new definition –

<b>"SMETS2+ Smart Metering System</b>	means a Smart Metering System that meets the requirements of a Version of the SME Technical Specification with a Principal Version number that is greater than 1."
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8 In standard condition 46 –

- (a) after the heading "**PPMID**" insert a new paragraph 46.1 as follows –

- "46.1 This Condition applies only in respect of Prepayment Meter Interface Devices which form part of a SMETS2+ Smart Metering System.";
- (b) renumber existing paragraphs 46.1 to 46.3 as paragraphs 46.2 to 46.4 respectively;
- (c) in renumbered paragraph 46.2 –
  - (i) after "through the HAN to a device forming part of the" insert "SMETS2+";
  - (ii) insert a new sub-paragraph (a) as follows –
    - "(a) a Version with a Principal Version number that is greater than 1";
  - (iii) renumber existing sub-paragraphs (a) to (d) as sub-paragraphs (b) to (e) respectively;
  - (iv) in renumbered sub-paragraph (d), after "in accordance with which that" insert "SMETS2+"; and
  - (v) in renumbered sub-paragraph (e), after "where the" insert "SMETS2+";
- (d) in renumbered paragraph 46.3, after the "requirement in paragraph" delete "46.1 is subject to paragraph 46.3" and insert "46.2 is subject to paragraph 46.4"; and
- (e) in renumbered paragraph 46.4 –
  - (i) after "particular Version of the PPMID Technical Specification" insert "with a Principal Version number that is greater than 1"; and
  - (ii) after "meet the requirements of paragraph" delete "46.1" and insert "46.2".

9 In standard condition 49 –

- (a) in paragraph 49.1(b), after "the parts of one or more" insert "SMETS2+";
- (b) in paragraph 49.6(g) –
  - (i) in sub-paragraph (i), after "associated with" insert "SMETS2+"; and
  - (ii) in sub-paragraph (ii), after "associated with" insert "SMETS2+";
- (c) in paragraph 49.8 –
  - (i) after "in relation to any" insert "SMETS2+"; and
  - (ii) in sub-paragraph (b), after "the parts of one or more" insert "SMETS2+";
- (d) in paragraph 49.9(b), after "is to be, installed a" insert "SMETS2+"; and
- (e) in paragraph 49.12(b), after "made between the parts of a" delete "Smart Metering System, or between part of a Smart Metering System and another" and insert "SMETS2+ Smart Metering System, or between part of a SMETS2+ Smart Metering System and another SMETS2+".

## Modifications to smart meter communication licences

- 10 The conditions of the smart meter communication licences are modified, in accordance with paragraphs 11 to 15 below, with effect from the day after the day on which this instrument is made.
- 11 In Condition 1, in paragraph 1.4, delete in its entirety the existing definition of "Installation Date".
- 12 In Condition 5 –
- (a) in paragraph 5.7, after "remains in operation until" delete "31 October 2018" and insert "31 December 2020"; and
  - (b) in paragraph 5.14(c), delete "31 October 2018" and insert "31 December 2020".
- 13 In Condition 13 –
- (a) in paragraph 13.4(b), after "in this Licence after" delete "31 October 2018" and insert "Completion of Implementation"; and
  - (b) in paragraph 13.6, after "in this Licence after" delete "31 October 2018" and insert "Completion of Implementation".
- 14 In Condition 22, in paragraph 22.29(a), after "(but not later than)" delete "31 October 2018" and insert "31 December 2020".
- 15 In Schedule 1 –
- (a) in paragraph 1.4 –
    - (i) in sub-paragraph (a), after "the Licence Application Process;" delete "or";
    - (ii) in sub-paragraph (b), after "Part J of that condition" delete the full stop "." and insert "; or"; and
    - (iii) after sub-paragraph (b), insert a new sub-paragraph (c) as follows –
      - "(c) has been entered into by the Licensee on or after the Licence Commencement Date for the purposes of procuring and providing communication or data services with respect to any SMETS1 Smart Metering System.";
  - (b) in paragraph 1.5, after "The following" delete "are the" and insert "contracts are, without limitation,"; and
  - (c) after existing paragraph 1.10, insert a new paragraph 1.11 as follows –

"1.11 In this Schedule 1:

<b>SMETS1 Smart Metering System</b>	has the meaning given to it in the Smart Energy Code."
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## Modifications to the Smart Energy Code

- 16 The Smart Energy Code is modified, in accordance with paragraphs 17 to 29 below, with effect from the day after the day on which this instrument is made.
- 17 In Section A –
- (a) in Section A1.1 –
- (i) in the definition of "Anomaly Detection Threshold", in sub-paragraph (b), after "in respect of the DCC" insert "(including when acting as a SMETS1 Service Provider)";
- (ii) delete the existing definition of "Certified Products List" and insert a new definition of Certified Products List as follows –
- "Certified Products List"** means those entries on the Central Products List which identify SMETS2+ Device Models.";
- (iii) in the definition of "CH Handover Support Materials", after "applying to that Region" delete ", which document is originally to be developed pursuant to Section X8 (Developing CH Support Materials)";
- (iv) in the definition of "CH Installation and Maintenance Support Materials", after "applying to that Region" delete ", which document is originally to be developed pursuant to Section X8 (Developing CH Support Materials)";
- (v) in the definition of "Check Cryptographic Protection", after "to check the Digital" delete "Signature" and insert "Signature(s)";
- (vi) in the definition of "Command", after "Codes required by the GB Companion Specification" insert "(or, in respect of a SMETS1 Device, means an Instruction)";
- (vii) in the definition of "Commissioned", in sub-paragraph (a), after "Decommissioning Procedures" insert "or the Transition and Migration Approach Document";
- (viii) delete the existing definition of "Communications Hub" and insert a new definition of Communications Hub as follows –
- "Communications Hub"** means a physical device that includes a Communications Hub Function together with a Gas Proxy Function.";
- (ix) in the definition of "Communications Hub Function", after "means" insert "either a SMETS1 CHF; or";
- (x) in the definition of "DCC Live Systems" –
- (A) after "means" delete ", with regard to the DCC's duty to Separate parts of the DCC Total System,";
- (B) in sub-paragraph (a), after "Commands," insert "Instructions,";

- (C) in sub-paragraph (f), after "Recovery Procedure;" delete "and";
- (D) in sub-paragraph (g), after "Proving Systems" delete "," and insert ";";  
and
- (E) after existing sub-paragraph (g), delete "each of which shall be treated as an individual System within the DCC Live Systems." and insert new sub-paragraphs (h) and (i) as follows –
  - "(h) discharging the obligations of any SMETS1 Service Provider in its capacity as such; and
  - (i) discharging the obligations of any DCO in its capacity as such.";
- (xi) in the definition of "DCC Total System" –
  - (A) after "Communications Hubs which are:" insert a new sub-paragraph (a) as follows –
    - "(a) SMETS1 CHs;"
  - (B) renumber existing sub-paragraphs (a) and (b) as sub-paragraphs (b) and (c) respectively; and
  - (C) in renumbered sub-paragraph (b), after "of the DCC;" delete "or" and insert "and/or";
- (xii) delete the existing definition of "Device ID" and insert a new definition of "Device ID" as follows –
 

**"Device ID** means:

  - (a) in relation to a SMETS2+ Device, the unique number by which an individual Device can be identified, as allocated to that Device in accordance with the applicable version of the GB Companion Specification; or
  - (b) in relation to a SMETS1 Device, the unique number complying with the SMETS1 Supporting Requirements and by which the Device can be identified.";
- (xiii) in the definition of "Device Log" –
  - (A) after "means, in respect of a" insert "SMETS2+"; and
  - (B) after "Data via the HAN." insert "In respect of a SMETS1 Device, it shall have the meaning in the SMETS1 Supporting Requirements.";
- (xiv) delete the existing definition of "Device Security Credentials" and insert a new definition of "Device Security Credentials" as follows –



- "Device Security Credentials"** means:
- (a) in respect of any SMETS2+ Device (other than a Type 2 Device), the Device's active Device Certificates and the electronic record within that Device of information from any other Certificates required to be held on the Device in order to execute the functionality of that Device specified in the GB Companion Specification;
  - (b) in respect of a SMETS1 Device, the Device Security Credentials required by the SMETS1 Supporting Requirements.";
- (xv) in the definition of "Electricity Smart Meter" –
- (A) after "means" insert "either a SMETS1 ESME; or"; and
  - (B) after "on which the device was installed." delete "Devices that meet the requirements of any Version of the SMETS with a Principal Version number of 1 are not currently included within this definition.";
- (xvi) in the definition of "Gas Proxy Function" after "means" insert "either a SMETS1 GPF; or";
- (xvii) in the definition of "Gas Smart Meter" –
- (A) after "means" insert "either a SMETS1 GSME; or"; and
  - (B) after "which the device was installed." delete "Devices that meet the requirements of any Version of the SMETS with a Principal Version number of 1 are not currently included within this definition.";
- (xviii) in the definition of "HAN Variants" after "means the variations of" insert "SMETS2+";
- (xix) in the definition of "IHD" after "at a premises, which" insert "is either a SMETS1 IHD; or";
- (xx) in the definition "Independent Time Source" after "in Section" delete "G2.45(b)" and insert "G2.46(b)";
- (xxi) in the definition of "Network Enhancement Plan" after "works to improve" insert "SMETS2+";
- (xxii) in the definition of "Physical Device Type" after "a Communications Hub;" insert "a SMETS1 ESME;";
- (xxiii) in the definition of "Pre-command" after "Service Response" insert ", DCC Alert";
- (xxiv) in the definition of "Pre-Payment Meter Interface Device" after "means" insert "either a SMETS1 PPMID; or";

(xxv) delete in its entirety, the existing definition of "Projected Operational Service Levels";

(xxvi) in the definition of "Response" –

(A) before "has the meaning given" insert "for SMETS2+ Devices,"; and

(B) after "GB Companion Specification." insert "; and otherwise, it shall mean a Service Response or a Pre-Command as the context implies.";

(xxvii) delete the existing definition of "Security Obligations and Assurance Arrangements" and insert a new definition of "Security Obligations and Assurance Arrangements" as follows –

- "Security Obligations and Assurance Arrangements"** means:
- (a) in the case of the DCC Total System, those requirements set out in Sections G2, G4 to G7 and G9;
  - (b) in the case of User Systems, those requirements set out in Sections G3 to G8;
  - (c) in the case of Smart Metering Systems comprising SMETS2+ Devices, those requirements set out in:
    - (i) the Commercial Product Assurance Security Characteristics (as defined in the GB Companion Specification); and
    - (ii) the provisions of Sections G3 (System Security: Obligations on Users) to G8 (User Security Assurance) which are applicable to such Smart Metering Systems;
  - (d) in the case of SMETS1 Smart Metering Systems:
    - (i) those security requirements set out in the relevant Version of the SMETS; and
    - (ii) those requirements set out in the provisions of Sections G3 to G8 which are applicable to such Smart Metering Systems; and
  - (e) in the case of RDP Systems, those requirements set out in Section E2.14 (Security Obligations).";

(xxviii) in the definition of "Services" –

(A) after "Section H (DCC Services)," delete "or"; and

(B) after "DCC Key Infrastructure)" insert "or Section N6 (Transition and Migration Approach Document)";

(xxix) delete the existing definition of "SM WAN" and insert a new definition of "SM WAN" as follows –

**"SM WAN** means either or both of the SMETS1 SM WAN and/or the SMETS2+ SM WAN.";

(xxx) in the definition of "SM WAN Coverage Database" after "information made available via the" delete "SSI" and insert "Self-Service Interface";

(xxxi) in the definition of "Successfully Executed" –

(A) in sub-paragraph (a), after "on the Device;" delete "or";

(B) in sub-paragraph (b), after "has been effected)" delete full stop "." and insert "; or"; and

(C) after existing sub-paragraph (b), insert a new sub-paragraph (c) as follows –

"(c) in respect of a SMETS1 Service Request and a Device, that the Equivalent Steps have been successfully carried out.";

(xxxii) in the definition of "Supply Sensitive Check" –

(A) after "that the associated" delete "Command" and insert "Command(s)"; and

(B) after "effect that the" delete "Command" and insert "Command(s)";

(xxxiii) in the definition of "Supply Sensitive Service Request" after "that the associated" delete "Command" and insert "Command(s)";

(xxxiv) in the definition of "Technical Code Specifications" –

(A) after "the SMKI Repository Interface Design Specification" delete "and" and insert ", "; and

(B) after "the SMKI Repository Code of Connection" insert ", and the SMETS1 Supporting Requirements";

(xxxv) in the definition of "Test Communications Hub", in sub-paragraph (b), after "is equivalent to a" insert "SMETS2+";

(xxxvi) in the definition of "Threshold Anomaly Detection", in sub-paragraph (b), after "of the DCC" insert "(including when acting as an SMETS1 Service Provider)";

(xxxvii) delete the existing definition of "Threshold Anomaly Detection Procedures" and insert a new definition of "Threshold Anomaly Detection Procedures" as follows –

**"Threshold Anomaly Detection Procedures** means the SEC Subsidiary Document of that name set out in Appendix AA, which has the purpose described in Section G6.1 (Threshold Anomaly Detection Procedures).";

(xxxviii) in the definition of "Type 2 Device" after "in the SMETS" insert "(or given to the expression 'Consumer Device' in the SMETS1)";

(xxxix) in the definition of "Unique Transaction Reference Number" –

- (A) after "Reference Number" insert "(UTRN)";
- (B) after "has" insert ", where used in relation to a SMETS2+ Device,"; and
- (C) after "GB Companion Specification" insert "; or, where used in relation to SMETS1 Device, has the meaning set out in SMETS1";

(xl) in the definition of "Unknown Remote Party" –

- (A) before "has the meaning given" insert "for SMETS2+ Devices,"; and
- (B) after "GB Companion Specification" insert "; and, for SMETS1 Devices, has the meaning set out in the SMETS1 Supporting Requirements";

(xli) in the definition of "Verify" after "Service Request" insert "or Signed Pre-Command";

(xlii) in the definition of "WAN Variants" –

- (A) after "the variations of" insert "SMETS2+"; and
- (B) after "communications via the" insert "SMETS2+"; and

(xliii) insert in alphabetical order the following new definitions –

<b>"Appropriate Standard</b>	has the meaning given to that expression in Section G3.28(b) (SMETS1 Smart Metering Systems).
<b>Central Products List</b>	has the meaning given to that expression in Section F2.1 (Central Products List).
<b>Countersigned</b>	means, in respect of any electronic Data, that such Data have had a Digital Signature applied to them by the DCC in circumstances in which the DCC is required to 'Countersign' the Data, as described in the DCC User Interface Specification (and “ <b>Countersign</b> ” and “ <b>Countersigning</b> ” are to be interpreted accordingly).
<b>Countersigned SMETS1 Alert</b>	has the meaning given to that expression in the DCC User Interface Specification.
<b>Countersigned SMETS1 Response</b>	has the meaning given to that expression in the DCC User Interface Specification.
<b>Countersigned S1SP Alert</b>	has the meaning given to that expression in the DCC User Interface Specification.

<b>Countersigned Service Request</b>	means a communication sent by the DCC to a SMETS1 Service Provider in the circumstances set out in the Service Request Processing Document.
<b>DCC Individual Live System</b>	<p>means, with regard to the DCC's duty to Separate parts of the DCC Total System, a part of the DCC Total System which is used:</p> <ul style="list-style-type: none"> <li>(a) for one of the purposes specified in paragraphs (a) to (g) of the definition of DCC Live Systems, where the part used for each such purpose shall be treated as an individual System distinct from: <ul style="list-style-type: none"> <li>(i) the part used for each other such purpose; and</li> <li>(ii) any part used for a purpose specified in either paragraph (h) or (i) of the definition of DCC Live Systems; or</li> </ul> </li> <li>(b) by a SMETS1 Service Provider for the purpose specified in paragraph (h) of the definition of DCC Live Systems, where the part used by each SMETS1 Service Provider shall be treated as an individual System distinct from: <ul style="list-style-type: none"> <li>(i) the part used by each other SMETS1 Service Provider; and</li> <li>(ii) any part used for a purpose specified in any of paragraphs (a) to (g), or paragraph (i), of the definition of DCC Live Systems; or</li> </ul> </li> <li>(c) by a DCO for the purpose specified in paragraph (i) of the definition of DCC Live Systems, where the part used by each DCI shall be treated as an individual System distinct from: <ul style="list-style-type: none"> <li>(i) the part used by each other DCO; and</li> <li>(ii) any part used for a purpose specified in any of paragraphs (a) to (h) of the definition of DCC Live Systems.</li> </ul> </li> </ul>
<b>DCC Internal Security Controls</b>	means security controls applied by the DCC in relation to SMETS1 Service Requests in a manner consistent with the End-To-End Security Architecture.
<b>DCO</b>	means the DCC when carrying out the role and activities ascribed to a DCO in this Code.
<b>Deployed</b>	means the list published by the Panel pursuant to

<b>Products List</b>	Section F2.10 (Deployed Products List).
<b>DUIS</b>	means the DCC User Interface Specification.
<b>Equivalent Steps</b>	<p>means in relation to a SMETS1 Device and/or a SMETS1 Service Request, those steps that are required to be taken such that:</p> <ul style="list-style-type: none"> <li>(a) the relevant Device is, or Data relating to it, are configured or reconfigured; or</li> <li>(b) Data that are stored on, or in relation to or generated by, that Device are retrieved,</li> </ul> <p>so as to have an effect that is equivalent to that which would occur were a Service Request of the same Service Reference Variant as the SMETS1 Service Request to be Successfully Executed on a SMETS2+ Device equivalent to the SMETS1 Device (taking into account the different design functionality of the SMETS1 Device and, where relevant, any specific requirements for alternative processing set out in the SMETS1 Supporting Requirements), and such that the appropriate SMETS1 Response(s) and SMETS1 Alert(s) can be generated.</p>
<b>Instruction</b>	means, in respect of a SMETS1 Device, a communication generated by the SMETS1 Service Provider following receipt of a SMETS1 Service Request by the DCC that is designed to instruct the Device to execute the functionality necessary to permit the DCC to take the necessary Equivalent Steps.
<b>Message Code</b>	has the meaning given to that expression in the SMETS1 Supporting Requirements.
<b>Never</b>	means a date-time used to denote the timing of an action that must never happen. For Service Requests, in accordance with DUIS, this date-time shall be 00:00:00 on 31st December 3000.
<b>Remote Party</b>	has the meaning given to that expression in GBCS.
<b>Replay</b>	has the meaning given to that expression in the SMETS1 Supporting Requirements.
<b>Secure</b>	has the meaning given to that expression in Section G3.28(a) (SMETS1 Smart Metering Systems).
<b>Service Reference Variant</b>	means the reference number which identifies each type of DCC User Interface Service, as listed in the DCC User Interface Services Schedule.
<b>Smart Metering Equipment</b>	means the document(s) set out in Schedule 9 with a

<b>Technical Specifications 1</b>	Principal Version number of 1.
<b>SMETS1</b>	means the Smart Metering Equipment Technical Specifications 1.
<b>SMETS1 Alert</b>	has the meaning given to that expression in the DCC User Interface Specification.
<b>SMETS1 CH</b>	means a physical device comprising a SMETS1 CHF and a SMETS1 GPF.
<b>SMETS1 CHF</b>	means that part of a SMETS1 ESMS or SMETS1 GSMS which incorporates the wide area network interface and controls which Devices can communicate via the associated home area network interface.
<b>SMETS1 Critical Service Request</b>	means a Critical Service Request which is targeted at a SMETS1 Device and is a SMETS1 Service Request.
<b>SMETS1 Device</b>	means one of the following: (a) a SMETS1 ESME; (b) a SMETS1 GSME; (c) a SMETS1 CHF; (d) a SMETS1 GPF; (e) a SMETS1 PPMID; (f) a SMETS1 IHD; and (g) any other device operating on a home area network created by a SMETS1 CHF.
<b>SMETS1 Device Model</b>	means the Device Model of a Device which complies with the requirements of SMETS1 (or which, in combination with other Devices, complies with the requirements of SMETS1).
<b>SMETS1 Eligible Product Combinations</b>	has the meaning given to that expression in Section F2.10A (SMETS1 Lists).
<b>SMETS1 ESME</b>	means that part of a SMETS1 ESMS that is not a SMETS1 CH.
<b>SMETS1 ESMS</b>	has the meaning given to the expression 'ESMS' in SMETS1.
<b>SMETS1 Future Dated Critical Service Request</b>	means a SMETS1 Critical Service Request which contains an execution date-time which is in the future according to the DCC's time.
<b>SMETS1 GPF</b>	means that part of a SMETS1 GSMS that is not a SMETS1 CHF and is powered by mains electricity. For the avoidance of doubt, a SMETS1 GPF excludes any SMETS1 GSME.
<b>SMETS1 GSME</b>	means that part of a SMETS1 GSMS that is not a SMETS1 CH.

<b>SMETS1 GSMS</b>	has the meaning given to the expression 'GSMS' in SMETS1.
<b>SMETS1 IHD</b>	has the meaning given to the expression 'IHD' in SMETS1.
<b>SMETS1 Pending Product Combinations Tests</b>	has the meaning given to that expression in Section H14.36A (SMETS1 Pending Product Combinations Tests).
<b>SMETS1 Pending Product Combinations</b>	has the meaning given to that expression in Section F2.10A (SMETS1 Lists).
<b>SMETS1 PPMID</b>	means a SMETS1 IHD that is capable of upgrading its Firmware in response to an Instruction sent over the SMETS1 SM WAN.
<b>SMETS1 Response</b>	has the meaning given to that expression in the DCC User Interface Specification.
<b>SMETS1 Service Provider</b>	means the DCC when carrying out the role and activities ascribed to a SMETS1 Service Provider in this Code.
<b>SMETS1 Service Request</b>	has the meaning given to that expression in the DCC User Interface Specification.
<b>SMETS1 Smart Metering System</b>	means a Smart Metering System comprising SMETS1 Devices.
<b>SMETS1 SMS</b>	means a SMETS1 Smart Metering System.
<b>SMETS1 SMSO</b>	means a smart meter system operator that provides (or used to provide) data and/or communications services in respect of SMETS1 Devices.
<b>SMETS1 SM WAN</b>	means the means by which the DCC sends, receives and conveys communications to and from some or all SMETS1 CHFs (which may differ between SMETS1 CHFs).
<b>SMETS1 Supported Service Request</b>	has the meaning given to that expression in the DCC User Interface Specification.
<b>SMETS1 Supporting Requirements</b>	means the SEC Subsidiary Document set out in Appendix AJ.
<b>SMETS2+ Communications Hub</b>	means a Communications Hub which is not a SMETS1 CH.



<b>SMETS2+ Device</b>	means a Device which is not a SMETS1 Device.
<b>SMETS2+ Device Model</b>	means a Device Model which is not a SMETS1 Device Model.
<b>SMETS2+ SM WAN</b>	means the means by which the DCC sends, receives and conveys communications to and from SMETS2+ Communications Hub Functions (which may differ from Region to Region).
<b>S1SP</b>	means the SMETS1 Service Provider.
<b>S1SP Alert</b>	has the meaning given to that expression in the DCC User Interface Specification.
<b>Transition and Migration Approach Document</b>	means the SEC Subsidiary Document set out in Appendix [TBC].
<b>Upgrade Image</b>	shall have the meaning given to that expression in the SMETS1 Supporting Requirements.
<b>UTC (Coordinated Universal Time)</b>	means the prime standard by which clocks and time are regulated."; and

- (b) in Section A3, in Section A3.42, before "Products List." delete "Certified" and insert "Central".

- 18 In Section B, in Section B2, after existing Section B2.9 insert a new heading and a new Section B2.10 as follows –

**"Network Party Subscriber Obligation**

B2.10 Each Network Party shall, as soon as reasonably practicable after its accession to this Code, ensure that it becomes a Subscriber for those Organisation Certificates which pertain to it and that are required by Responsible Suppliers for the purposes of complying with their obligations under Clause 5 (Post-Commissioning Obligations in Relation to SMETS2+ Devices) and Clause 6 (Post Commissioning Obligations in Relation to SMETS1 Devices) of the Inventory Enrolment and Withdrawal Procedures."

- 19 In Section C –

- (a) in Section C2, in Section C2.4(f), before "Products List;" delete "Certified" and insert "Central";
- (b) in Section C3, in Section C3.5 –
- (i) before "Panel Chair shall be appointed in accordance" delete "first Panel Chair to be appointed following the designation of this Code shall be appointed in accordance with the appointment process developed in accordance with Section X (Transition). Thereafter, each"; and

- (ii) after "Panel Chair shall be appointed in accordance with" delete "the same process" and insert "such process as the Panel may determine"; and
- (c) in Section C4 –
  - (i) in Section C4.1, before "Elected Members shall be elected" delete "first Elected Members to be appointed on the designation of this Code shall be appointed in accordance with Section X (Transition). All other"; and
  - (ii) in Section C4.4(a), delete "the Elected Members elected in accordance with Section X (Transition) shall retire in accordance with that Section" and insert "not used".

20 In Section F –

- (a) in Section F2 –
  - (i) in the heading of Section F2, before "**PRODUCTS LIST**" delete "**CERTIFIED**" and insert "**CENTRAL**";
  - (ii) after the heading of Section F2, delete the existing heading "Certified Products List" and existing Section F2.1 and insert a new heading and a new Section F2.1 as follows –

**"Central Products List**

F2.1 The Panel shall establish and maintain a list (the "Central Products List") of:

- (a) the SMETS2+ Device Models for which the Panel has received all the Assurance Certificates required for the Physical Device Type relevant to that Device Model (known as the Certified Products List); and
  - (b) in the case of SMETS1 Device Models, those Device Models for which the Panel has received all the information required in accordance with the CPL Requirements Document (which does not require any certification of SMETS1 Devices under the CPA or any other assurance scheme).";
- (iii) in Section F2.2 –
  - (A) after "The Panel shall ensure that the" delete "Certified" and insert "Central"; and
  - (B) after "and that the" delete "Certified" and insert "Central";
- (iv) after existing Section F2.2, insert a new Section F2.2A as follows –
 

"F2.2A Where a Party disagrees with any decision of the Panel to add, remove, not remove, reinstate, or not reinstate a SMETS1 Device Model to or from the Central Products List, that Party may refer the matter to the Authority for its determination, which shall be final and binding for the purposes of this Code.";

- (v) after the existing heading "Background to Assurance Certificates" following new Section F2.2A, insert a new Section F2.2B as follows –
 

"F2.2B For SMETS1 Device Models, there are no required Assurance Certificates for any of the Physical Device Types.";
- (vi) in Section F2.8 –
  - (A) after "to or from the" delete "Certified" and insert "Central";
  - (B) in Section F2.8(a) –
    - 1) after "provide the updated" delete "Certified" and insert "Central"; and
    - 2) after "contained within the" delete "Certified" and insert "Central";
  - (C) in Section F2.8(b), after "copy of the updated" delete "Certified" and insert "Central"; and
  - (D) in Section F2.8(c), after "Parties that the" delete "Certified" and insert "Central";
- (vii) in Section F2.9 –
  - (A) after "and rely upon the" delete "Certified" and insert "Central"; and
  - (B) after "to reflect the updated" delete "Certified" and insert "Central";
- (viii) in Section F2.10 –
  - (A) after "shall publish on the Website) a list" insert "(the **"Deployed Products List"**)"; and
  - (B) after "(together with" delete "associated" and insert "Associated"; and
- (ix) after existing Section F2.10, insert a new heading and new Sections F2.10A and F2.10B as follows –

#### **"SMETS1 Lists**

F2.10A The DCC shall create, keep up-to-date and provide to the Panel (and the Panel shall publish on the Website) lists of:

- (a) all the combinations of different Device Models that could comprise a SMETS1 Smart Metering System (together with Associated Type 2 Devices) in relation to which the DCC has demonstrated through testing that it is able to successfully process SMETS1 Service Requests and relevant SMETS1 Alerts (the **"SMETS1 Eligible Product Combinations"**); and
- (b) all the combinations of different Device Models that could comprise a SMETS1 Smart Metering System (together with Associated Type 2 Devices) in relation to which the DCC is at that time developing and/or testing the capability to

successfully process SMETS1 Service Requests and relevant SMETS1 Alerts (the "**SMETS1 Pending Product Combinations**").

F2.10B The obligation of the DCC under Section F2.10A(a) shall only apply once the DCC is first permitted under the Transition and Migration Approach Document to add a combination of Device Models to the SMETS1 Eligible Product Combinations.";

(b) in Section F4 –

- (i) in the heading of Section F4, after "**INTEROPERABILITY AND ACCESS**" delete "**FOR THE DCC**";
- (ii) in Section F4.1, before "for each Enrolled Smart Metering System" delete "Import Supplier, Export Supplier and/or Gas Supplier (as applicable)" and insert "Responsible Supplier";
- (iii) after existing Section F4.1, insert new Sections F4.1A to F4.1C as follows –

"F4.1A The Lead Supplier for a SMETS1 CH shall take all reasonable steps to ensure that the SMETS1 CHF forming part of that SMETS1 CH is not configured in a way that restricts the minimum functions that any Smart Metering System of which the SMETS1 CHF forms part is required to be capable of providing in order that the DCC can provide the Services in accordance with this Code.

F4.1B Subject to Section F4.1C, where the Lead Supplier for a SMETS1 CH upgrades the firmware for or replaces the SMETS1 CHF and/or SMETS1 GPF comprising that SMETS1 CH, then the Lead Supplier shall take reasonable steps to ensure that the upgraded/replacement SMETS1 CHF and/or SMETS1 GPF is compatible with any and all other Devices that formed part of a Smart Metering System of which the SMETS1 CHF and/or SMETS1 GPF that have been upgraded/replaced also formed part. For the purposes of this Section F4.1B, 'compatible' means that the Devices are of Device Models identified as a combination of Device Models in the then current SMETS1 Eligible Product Combinations.

F4.1C The obligation under Section F4.1B is subject to the Lead Supplier's obligations under its Energy Supply Licence with respect to the installation and maintenance of Smart Metering Systems (as defined in its Energy Supply Licence).";

- (iv) in the heading above existing Section F4.2, after "**Interoperability**" insert "**of SMETS2+ Communications Hubs**";
- (v) in Section F4.2, after "to ensure that" insert "SMETS2+";
- (vi) in Section F4.3, after "Enrolled Smart Metering System" insert "(but not SMETS1 SMSs)";
- (vii) in Section F4.5, before "Responsible Supplier" delete "The" and insert "Subject to Section F4.5A , the";

- (viii) after existing Section F4.5, insert a new Section F4.5A as follows –
 

"F4.5A In the case of SMETS1 CHs, the Supplier Party or Supplier Parties which own or are renting the SMETS1 CH (which may or may not be the Responsible Supplier) shall be obliged to comply with Section F4.5 in respect of the SMETS1 CH.";
- (ix) in Section F4.6, after "to interfere with a" insert "SMETS2+";
- (x) in Section F4.7, after "Devices comprising a" insert "SMETS2+";
- (xi) in Section F4.8, after "one that is listed on the" delete "Certified" and insert "Central";
- (xii) in the heading above existing Section F4.10, before "**Communications**" insert "**SMETS2+**"; and
- (xiii) after existing Section F4.15, insert a new heading and new Sections F4.16 and F4.17 as follows –

#### **"Preventing Unauthorised Access to Data**

F4.16 The DCC and each other Party that is responsible from time to time for the risk of loss or destruction of or damage to a SMETS2+ Communications Hub shall take reasonable steps to ensure that Personal Data held on that Communications Hub is protected from unauthorised access during such period of responsibility.

F4.17 The Lead Supplier from time to time for each SMETS1 CH shall take reasonable steps to ensure that Personal Data held on that SMETS1 CH is protected from unauthorised access.";

- (c) in Section F5 –
  - (i) in the heading of Section F5, before "**COMMUNICATIONS HUB**" insert "**SMETS2+**"; and
  - (ii) after the heading of Section F5, insert "All references to "Communications Hubs" in this Section F5 are references to "SMETS2+ Communications Hubs".";
- (d) in Section F6 –
  - (i) in the heading of Section F6, after "**ACCEPTANCE OF**" insert "**SMETS2+**";
  - (ii) after the heading of Section F6, insert "All references to "Communications Hubs" in this Section F6 are references to "SMETS2+ Communications Hubs"."; and
  - (iii) after Section F6.19, insert a new heading and a new Section F6.20 as follows –

#### **"Timing of CHTS Compliance**

F6.20 The DCC is obliged under the DCC Licence to deliver Communications Hubs that are within their Installation Validity Period and is thereafter subject to licence obligations relating to their maintenance. Nothing in this Section F6 (or elsewhere in this Code) is intended to require the DCC to ensure CHTS compliance at the time of a Communications Hub's installation.";

(e) in Section F7 –

- (i) in the heading of Section F7, after "**MAINTENANCE OF**" insert "**SMETS2+**";
- (ii) after the heading of Section F7, insert "All references to "Communications Hubs" in this Section F7 are references to "SMETS2+ Communications Hubs".";
- (iii) delete the heading above existing Section F7.8;
- (iv) in Section F7.8, delete "The DCC and each other Party that is responsible from time to time for the risk of loss or destruction of or damage to a Communications Hub shall take reasonable steps to ensure that Personal Data held on that Communications Hub is protected from unauthorised access during such period of responsibility." and insert "Not used"; and
- (v) in the heading above Section F7.18, after "Resolution of" insert "SMETS2+";

(f) in Section F8 –

- (i) in the heading of Section F8, after "**RETURN OF**" insert "**SMETS2+**"; and
- (ii) after the heading of Section F8, insert "All references to "Communications Hubs" in this Section F8 are references to "SMETS2+ Communications Hubs".";

(g) in Section F9 –

- (i) in the heading of Section F9, after "**CATEGORIES OF**" insert "**SMETS2+**"; and
- (ii) after the heading of Section F9, insert "All references to "Communications Hubs" in this Section F9 are references to "SMETS2+ Communications Hubs"."; and

(h) in Section F10 –

- (i) in the heading of Section F10, before "**TEST COMMUNICATIONS**" insert "**SMETS2+**"; and
- (ii) in Section F10.12, after "Section F10 represent" insert "SMETS2+";

21 In Section G –

(a) in Section G2 –

- (i) delete existing Section G2.20(c) and insert a new Section G2.20(c) as follows –
  - "(c) subject to the provisions of Sections G2.21 and G2.22, each DCC Individual Live System is Separated from each other such System.";
- (ii) in Section G2.21 –
  - (A) before "System referred to at paragraph (c)", delete "individual" and insert "DCC Individual Live";
  - (B) after "Separated from the" delete "individual" and insert "DCC Individual Live"; and
  - (C) after "extent that it uses that" delete "individual";
- (iii) after existing Section G2.21, insert a new Section G2.22 as follows –
  - "G2.22 Any System of the type referred to at paragraph (b) of the definition of DCC Individual Live System in Section A1 (Definitions) need not be Separated from that part of the DCC Total System which is used to convey communications between it and SMETS1 CHs.";
- (iv) renumber existing Sections G2.22 to G2.48 to G2.23 to G2.49 respectively;
- (v) in renumbered Section G2.23, after "the requirements of Section" delete "G2.23" and insert "G2.24";
- (vi) in renumbered Section G2.24, after "activity described in Section" delete "G2.22" and insert "G2.23";
- (vii) in renumbered Section G2.29(a), after "Signed Pre-Commands, Commands," insert "Instructions to SMETS1 Devices,";
- (viii) in renumbered Section G2.32, after "accordance with Section" delete "G2.30(a)" and insert "G2.31(a)";
- (ix) in renumbered Section G2.34, after "accordance with Section" delete "G2.32" and insert "G2.33";
- (x) in renumbered Section G2.36, after "accordance with Section" delete "G2.34" and insert "G2.35";
- (xi) in renumbered Section G2.44 –
  - (A) after "The DCC shall ensure that" delete "it carries out";
  - (B) in renumbered Section G2.44(a), after "CoS Party;" delete "or";
  - (C) in renumbered Section G2.44(b), after "create a Command" delete the comma "," and insert "; or";
  - (D) after renumbered Section G2.44(b), insert a new Section G2.44(c) as follows –

- (c) "is carried out by a SMETS1 Service Provider,"; and
  - (E) before "within Cryptographic Modules" insert "is carried out"; and
  - (xii) in renumbered Section G2.46, after "purposes of Section" delete "G2.46" and insert "G2.47";
- (b) in Section G3 –
- (i) in Section G3.15(a), after "Signed Pre-Commands, Commands," insert "Instructions to SMETS1 Devices,";
  - (ii) in Section G3.17(b), after "Gas Proxy Function" insert "which forms part of a SMETS2+ Device";
  - (iii) in Section G3.23(a) –
    - (A) in Section G3.23(a)(i), after "is held;" delete "and"; and
    - (B) after existing Section G3.23(a)(ii), insert a new Section G3.23(a)(iii) as follows –
      - "(iii) any SMETS1 Service Request that constitutes a Critical Service Request is Digitally Signed; and";
  - (iv) in Section G3.25 –
    - (A) in Section G3.25(a) after "Signing a Pre-Command" insert "or SMETS1 Service Request";
    - (B) in Section G3.25(b), after "the relevant Pre-Command" insert "or SMETS1 Service Request"; and
    - (C) in Section G3.25(c), before "has been processed" delete "Pre-Command" and insert "relevant Pre-Command or SMETS1 Service Request"; and
  - (v) after the existing Section G3.25, insert a new heading and Sections G3.26 to G3.28 as follows –

## "SMETS1 Smart Metering Systems

- G3.26 Each Supplier Party shall use its best endeavours to ensure that each SMETS1 SMS for which it is the Responsible Supplier is at all times Secure.
- G3.27 Each Supplier Party shall retain documentary evidence sufficient to demonstrate its compliance with the obligation at Section G3.26.
- G3.28 For the purposes of Section G3.26:
- (a) a SMETS1 SMS is **"Secure"** if it is designed, installed, operated and supported so as to ensure, to an Appropriate Standard, that it is not subject to any event which results, or is capable of resulting, in any Device of which it is comprised being Compromised to a material extent; and



- (b) an "**Appropriate Standard**" means a high level of security that is in accordance with good industry practice within the energy industry in Great Britain, and is capable of verification as such by the User Independent Security Assurance Service Provider in accordance with Section G8.";
- (c) in Section G6 –
  - (i) in Section G6.1 –
    - (A) in Section G6.1(a)(ii), after "User is quarantined" insert ", or deleted from the DCC Systems,"; and
    - (B) after existing Section G6.1(c), delete existing Section G6.1(d) and insert a new Section G6.1(d) as follows –
      - "(d) may make provision relating to the actions to be taken by Users and the DCC in cases in which an Anomaly Detection Threshold has been exceeded, which:
        - (i) in the case of any SMETS1 Service Request which contains a data value that is inconsistent with a maximum or minimum set in accordance with paragraph (b)(ii) of the definition of Anomaly Detection Threshold in Section A1 (Definitions), shall include the deletion by the DCC of that Service Request and notification of the User that the deletion has taken place; and
        - (ii) in any other case, may include provision for communications to be quarantined and remedial action to be taken.";
  - (ii) in Section G6.3 –
    - (A) delete existing Section G6.3(a)(i) and insert a new Section G6.3(a)(i) as follows –
      - "(i) the sum total of the number of Critical Commands and the number of SMETS1 Service Requests that are Critical Service Requests which relate to each such Service; and";
    - (B) in Section G6.3(a)(ii) –
      - 1) after "respect of which" insert ", if the relevant Device were a SMETS2+ Device,"; and
      - 2) after "Service Responses" delete "containing" and insert "that would contain"; and
    - (C) renumber existing Section G6.3(a)(iii) as Section G6.3(b);
  - (iii) in Section G6.6 –

- (A) delete existing Section G6.6(a)(i) and insert a new Section G6.6(a)(i) as follows –
  - "(i) the sum total of the number of Critical Commands and the number of SMETS1 Service Requests that are Critical Service Requests which relate to that Service; and";
- (B) in Section G6.6(a)(ii), after "respect of which" delete "there are" and insert ", if the relevant Device were a SMETS2+ Device, there would be"; and
- (C) in Section G6.6(b), after "Signed Pre-Command" insert "and SMETS1 Service Request"; and
- (d) in Section G8, in Section G8.2, before "Panel may appoint" delete "Except where the contrary is required by the provisions of Section X (Transition), the" and insert "The".

22 In Section H –

- (a) in Section H1, in Section H1.8(b)(ii), after "Sections I1.2 to I1.4," delete the bracket "(" and after "Code to do so" delete the bracket ")";
- (b) in Section H3 –
  - (i) in Section H3.8, after "Subject to Sections H3.9" delete "and H3.10" and insert "to H3.10A (inclusive)";
  - (ii) in Section H3.9, after "Subject to" delete "Section H3.10" and insert "Sections H3.10 and H3.10A";
  - (iii) after existing Section H3.10, insert a new Section H3.10A as follows –
 

"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.";
  - (iv) in Section H3.14 –
    - (A) after "The DCC shall" insert "(subject to Section H3.15)"; and
    - (B) after "for that activity" insert ", subject to Section H3.15";
  - (v) in Section H3.15 –
    - (A) before "For the purposes of Section H3.14" insert "The Target Response Times set out in Section H3.14 shall not apply to activities in respect of SMETS1 Devices, and the Target Response Times for activities in respect of SMETS1 Devices shall instead be determined in accordance with the DCC User Interface Services Schedule. "; and

- (B) after "For the purposes of Section H3.14" insert "and activities in respect of SMETS2+ Devices"; and
- (vi) in Section H3.16, after "GB Companion Specification" insert "or SMETS1 Supporting Requirements";
- (c) in Section H5, after existing Section H5.7, insert a new heading and new Sections H5.8 and H5.9 as follows –
  - "SMETS1**
  - H5.8 The DCC shall only be required to Enrol SMETS1 Smart Metering Systems, or process Service Requests in respect of SMETS1 Smart Metering Systems, that comprise a combination of Device Models that is listed on the SMETS1 Eligible Product Combinations.
  - H5.9 The Inventory, Enrolment and Withdrawal Procedures Document may also set out circumstances in which the Panel may direct the DCC not to Commission a SMETS1 Device (or purported SMETS1 Device).";
- (d) in Section H6 –
  - (i) in Section H6.2, after "Decommission such a Device" insert "; provided that only the Lead Supplier may Decommission a SMETS1 CHF";
  - (ii) in Section H6.3, after "Where a Responsible Supplier" insert "(or, in the case of a SMETS1 CHF, the Lead Supplier)";
  - (iii) in Section H6.4, before "in accordance with" delete "Responsible Supplier" and insert "User";
  - (iv) in Section H6.10, after "is removed from the" delete "Certified" and insert "Central"; and
  - (v) in Section H6.11, after "is removed from the" delete "Certified" and insert "Central";
- (e) in Section H7 –
  - (i) in Section H7.4, after "Notwithstanding Section" delete "E7.2" and insert "H7.1 and H7.2"; and
  - (ii) in Section H7.14(b), before "the applicable Service Request" insert "other than in the case of SMETS1 Service Requests,";
- (f) in Section H8, in Section H8.16(f) –
  - (i) before "the following information" insert "any and all information in respect of the SMETS1 SM WAN as the DCC is required to make available under the Self-Service Interface Design Specification, which shall be made available to all Users; and"; and
  - (ii) after "in respect of the" insert "SMETS2+";
- (g) in Section H9, in Section H9.2 –

- (i) in Section H9.2(a)(iii) –
  - (A) after "to the extent the Incident is" delete "caused by a Communications Hub and is not" insert "either: (A) caused by a SMETS1 CH for which the Incident Party is the Lead Supplier; or (B) caused by a SMETS2+ Communications Hub and not"; and
  - (B) after "via communications over the SM WAN, then" insert "(in either case)";
- (ii) in Section H9.2(b)(iii), before "Communications Hub" insert "SMETS2+"; and
- (iii) in Section H9.2(c), after "caused by that Communications Hub" delete "and" and insert "where either: (A) it is a SMETS1 CH; or (B) the Incident or Problem is";
- (h) in Section H11, in Section H11.2 –
  - (i) delete existing Sections H11.2(a) and H11.2(b) and insert new Sections H11.2(a) and H11.2(b) as follows –
    - "(a) convert the relevant content of all Service Responses and Device Alerts (in each case only where generated from a Response or Alert originating from a SMETS2+ Device) into the format that is consistent with that set out in respect of them in the Message Mapping Catalogue; and
    - (b) confirm that the content of any Pre-Command is substantively identical to the content of its associated Critical Service Request.";
- (i) in Section H12, in Section H12.1, after "of Section H12.2 and H12.3." insert "The ICHIS is not relevant to SMETS1 CHs."; and
- (j) in Section H14 –
  - (i) in Section H14.1 –
    - (A) in Section H14.1(e), after "Section H14.36);" delete "and";
    - (B) in Section H14.1(f), after "Process Tests" delete the full stop "." and insert "; and"; and
    - (C) after existing Section H14.1(f), insert a new Section H14.1(g) as follows –
      - "(g) SMETS1 Pending Product Combinations Tests.";
  - (ii) in Section H14.8 –
    - (A) after "Repository Entry Process Tests," delete "and"; and
    - (B) after "User System Tests" insert "and SMETS1 Pending Product Combinations Tests";

- (iii) after Section H14.9(b), delete existing section H14.9(c) and insert a new Section H14.9(c) as follows, –

"(c) a reasonable number of Devices (other than SMETS2+ Communications Hubs) for use by Testing Participants at the DCC's physical test laboratories, which Devices are to be:

- (i) in the case of SMETS1 Devices as further described or set out in the Enduring Testing Approach Document; or
- (ii) except for SMETS1 Devices, of the same Device Models as those selected pursuant to the Device Selection Methodology and/or such other Device Models as the Panel approves from time to time (provided that, where Test Stubs (or other alternative arrangements) were used then such Tests Stubs (or other alternative arrangements) will be used in place of Devices until the DCC agrees with the Panel which Device Models to use).";

- (iv) after existing Section H14.30 and heading "Device and User System Tests", delete existing Section H14.31 and insert a new Section H14.31 as follows –

"H14.31 This Section H14.31 shall only apply in respect of SMETS1 Devices from 31 August 2018 or any such later date as the Secretary of State may direct further to a recommendation from the DCC to the Secretary of State following a consultation on a proposed date by the DCC with all SEC Parties and the SEC Panel. The DCC shall provide a service to enable Testing Participants:

- (a) to test the interoperability of SMETS2+ Devices (other than those comprising Communications Hubs) with the DCC Systems and with the Test Communications Hubs provided as part of the Testing Services, such that those Devices are able to respond to Commands received from or via the DCC in accordance with the requirements defined in the GB Companion Specification;
- (b) to test the interoperability of SMETS1 Devices with the DCC Systems, such that those Devices are able to respond to Instructions received from or via the DCC such that the necessary Equivalent Steps are taken (provided that such service need only be provided by the DCC in respect of combinations of SMETS1 Device Models that are listed on the SMETS1 Eligible Product Combinations);
- (c) to test the interoperability of User Systems with the DCC Systems, including via the DCC User Interface and the Self-Service Interface;
- (d) to test simultaneously the interoperability of User Systems and SMETS2+ Devices (other than those comprising Communications Hubs) with the DCC Systems and with the

Test Communications Hubs provided as part of the Testing Services; and

- (e) to test simultaneously the interoperability of User Systems and SMETS1 Devices (excluding combinations of SMETS1 Devices that are not listed on the SMETS1 Eligible Product Combinations) with the DCC Systems,

which Testing Services, except in respect of (c) above, shall (subject to the Testing Participant agreeing to pay any applicable Charges, as further described in the Enduring Testing Approach Document) include the provision of a connection to a simulation of the SM WAN for the purpose of such tests as further described in the Enduring Testing Approach Document (save to the extent the connection is required where the DCC is relieved from its obligation to provide Communication Services pursuant to the Statement of Service Exemptions). References to particular Systems in this Section H14.31 may include a simulation of those Systems (rather than the actual Systems).";

- (v) in Section H14.32 –

- (A) after "a Party) is eligible to undertake those Device and User System Tests described in Section H14.31(a)" insert "and (b)";
- (B) after "of Devices is eligible to undertake those Device and User System Tests described in Section H14.31(a)" insert "and (b)"; and
- (C) after "A Party undertaking the Device and User System Tests described in Section" delete "H14.31(b)" and insert "H14.31(c)"; and

- (vi) after existing Section 14.36, insert a new heading and new Sections H14.36A. to H14.36E as follows –

#### **"SMETS1 Pending Product Combinations Tests**

H14.36A This Section H14.36A shall only apply in respect of SMETS1 Devices from 31 August 2018 or any such later date as the Secretary of State may direct further to a recommendation from the DCC to the Secretary of State following a consultation on a proposed date by the DCC with all SEC Parties and the SEC Panel. The DCC shall provide services (the "**SMETS1 Pending Product Combinations Tests**") whereby a Party or a Manufacturer (being the relevant Testing Participant) can from time to time request that the DCC tests one or more combinations of SMETS1 Device Models that are not at that time listed on the SMETS1 Eligible Product Combinations in order to demonstrate whether the DCC is able to successfully process SMETS1 Service Requests and relevant SMETS1 Alerts in respect of them (subject to Section H14.36C(c)).

H14.36B Where requested in accordance with Section H14.36A, the DCC shall undertake, and facilitate the Testing Participant's participation in, the SMETS1 Pending Product Combinations Tests in respect of the requested combination(s) of SMETS1 Device Models as soon as reasonably practicable. The DCC shall

then notify the relevant Testing Participant whether the DCC is able to successfully process SMETS1 Service Requests and relevant SMETS1 Alerts in respect of them, without needing to make material changes to the DCC Systems and/or modifications to this Code.

H14.36C Where the DCC notifies a Testing Participant that the DCC is not able to successfully process SMETS1 Service Requests and relevant SMETS1 Alerts in respect of a combination of SMETS1 Device Models without needing to make material changes to the DCC Systems and/or modifications to this Code, then the DCC shall:

- (a) provide the relevant Testing Participant with reasonable details of the reasons why the DCC is not able to do so, and of the changes to the DCC Systems and/or modifications to this Code which would be required in order to enable the DCC to do so (in each case, to the extent that the DCC has been able to identify such reasons and changes and/or modifications, having taken reasonable steps to identify them);
- (b) provide the relevant Testing Participant with such reasonable support as they may request in understanding the issues identified by the DCC;
- (c) not be obliged to provide SMETS1 Pending Product Combinations Tests to the same Testing Participant in respect of the same combination of SMETS1 Device Models unless and until the relevant changes have been made to the DCC System and/or the relevant modifications have been made to this Code; and
- (d) make available in accordance with the Enduring Testing Approach Document such details regarding the relevant combination of SMETS1 Device Models as is required in accordance with the Enduring Testing Approach Document.

H14.36D Where the DCC is able to successfully process SMETS1 Service Requests and relevant SMETS1 Alerts in respect of a combination of SMETS1 Device Models without needing to make material changes to the DCC Systems and/or modifications to this Code, then the DCC shall add that combination of Device Models to the SMETS1 Eligible Product Combinations.

H14.36E The DCC and the relevant Testing Participant in respect of the SMETS1 Pending Product Combinations Tests shall comply with any and all additional obligations concerning SMETS1 Pending Product Combinations Tests set out in the Enduring Testing Approach Document."

23 In Section I, in Section I2, in Section I2.2, before "Panel may appoint more than" delete "Except where the contrary is required by the provisions of Section X (Transition), the" and insert "The".

24 In Section L –

(a) in Section L1, in Section L1.17(d)(vi), after "in respect of those documents" delete "(which Modification Proposals shall, notwithstanding Section X2.3(a), (b) and (c), be subject to Section D (Modification Process) as varied by Section X2.3(d))";

(b) in Section L3, in the existing table following Section L3.18(b)(ii), after the existing last row insert a new row as follows –

"

s1SPxmlSigning	The DCC	[Not Applicable]	(g)
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"; and

(c) in Section L5 –

(i) in Section L5.1(p), after "infrastructure certificate" insert bracket ")"; and

(ii) in existing Annex A to Section L, in existing Table 1, after the existing last row insert a new row as follows –

"

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".

25 In Section N –

(a) in Section N1, in Section N1.1, delete in its entirety the definition of "SMETS1 Eligible Products List";

(b) in Section N2 –

(i) after existing Section N2.3 –

(A) delete the existing heading "**SMETS1 Compliance**"; and

(B) delete existing Sections N2.4 to N2.7 and insert new Sections N2.4 to N2.7 as follows –

"N2.4 Not used

N2.5 Not used

N2.6 Not used

N2.7 Not used"; and

(ii) after existing Section N2.13 –

(A) delete existing heading "**SMETS1 Eligible Products List**"; and



- (B) delete existing Sections N2.14 and N2.15; and
- (c) after existing Section N5, insert a new Section N6 as follows –

**"N6 TRANSITION AND MIGRATION APPROACH DOCUMENT**

**Overview**

- N6.1 The Transition and Migration Approach Document is to be developed by the DCC pursuant to this Section N6, and incorporated into this Code pursuant to Part G of Condition 22 of the DCC Licence and Section X5 (Incorporation of Certain Documents into this Code).

**Purpose of the Transition and Migration Approach Document**

- N6.2 The purposes of the Transition and Migration Approach Document are to:
- (a) enable the Enrolment of SMETS1 Smart Metering Systems comprising SMETS 1 Devices that have previously been commissioned by a SMETS1 SMSO (whether or not they remain so commissioned immediately prior to their Enrolment);
  - (b) provide for additional and/or varied provisions to apply for a transitional period prior to, during and/or following the Enrolment of such SMETS1 Smart Metering Systems.; and
  - (c) facilitate the provision of Elective Communication Services in respect of SMETS 1 Smart Metering Systems.

**Content of the Transition and Migration Approach Document**

- N6.3 The Transition and Migration Approach Document may include, without limitation, some or all of the following:
- (a) rights and/or obligations of the DCC and other Parties designed to facilitate or achieve the purposes of the Transition and Migration Approach Document which are either additional to or vary other rights and/or obligations set out in this Code;
  - (b) the processes by which SMETS 1 Devices that have previously been commissioned by a SMETS1 SMSO may be Commissioned and Enrolled as SMETS1 Smart Metering Systems (which may include obligations to apply before, on and/or after such Commissioning);
  - (c) pre-conditions to apply in relation to the Commissioning of SMETS1 Devices, including by reference to the DCC, SMETS1 Device Model, Lead Supplier, Responsible Supplier, the SMETS1 SMSO by which the SMETS1 Devices were previously commissioned, and/or the Supplier Party by which the SMETS1 Devices were originally installed;
  - (d) rules and constraints concerning the scheduling and timing to be followed in respect of the Commissioning of SMETS1 Devices, including by reference to the relevant SMETS1 Device Model, Lead Supplier, Responsible Supplier, SMETS1 Service Provider, SMETS1

SMSO by which the SMETS1 Devices were previously commissioned, and/or Supplier Party by which the SMETS1 Devices were originally installed;

- (e) obligations on one or more Parties to procure that SMETS1 SMSOs undertake specified activities to support the Enrolment of SMETS1 Smart Metering Systems;
- (f) rules and requirements concerning the provision and sharing of Data in order to facilitate or achieve the purposes of the Transition and Migration Approach Document, which may include one or more Parties being obliged to provide (or procure the provision of) Data (as further described in the Transition and Migration Approach Document);
- (g) provisions concerning the re-configuration of SMETS1 Devices and/or the taking over and handing back of communications with SMETS1 Devices, which may include one or more Parties being obliged to make arrangements for the same (as further described in the Transition and Migration Approach Document);
- (h) provisions concerning the exchange of security keys, security credentials and/or cryptographic material, which may include modification of the SMKI Services and the SMKI Repository Service to permit the Issuing of Organisation Certificates with additional Remote Party Roles (and their lodging in the SMKI Repository);
- (i) provisions requiring the DCC and Users to enter into Bilateral Agreements for the provision of certain Elective Communication Services in respect of SMETS 1 Smart Metering Systems;
- (j) provisions that permit the population and/or amendment of the Certified Products List, SMETS1 Eligible Product Combinations, SMETS1 Pending Product Combinations and/or the Smart Metering Inventory other than by means of the enduring arrangements;
- (k) limitations and/or variations to the Services and/or the rights and/or obligations of the Parties to apply for a transitional period prior to and/or following the Enrolment of some or all SMETS1 Smart Metering Systems, which may include limitations and/or variations to Services in respect of SMETS2 Devices;
- (l) the variation of limitations on liability provided for in this Code for a transitional period prior to and/or following the Enrolment of some or all SMETS1 Smart Metering Systems, and provision for the giving of indemnities against liabilities to which one or more Parties and/or SMETS1 SMSOs might be exposed in consequence of the Transition and Migration Approach Document;
- (m) provision for SMETS1 SMSOs to be given rights to enforce certain provisions of the Transition and Migration Approach Document in accordance with the Contracts (Rights of Third Parties) Act 1999, notwithstanding Section M11.5 (Third Party Rights); and

- (n) provision for the referral and determination of disputes in respect of the Transition and Migration Approach Document, which may include interim or final determinations by the Secretary of State, the Authority, the Panel or any other person specified by the Secretary of State.

#### **Process to Develop Document for Designation**

N6.4 The DCC shall, to the extent it has not already done so when this Section N6 comes into effect, develop and consult on the Transition and Migration Approach Document and submit it to the Secretary of State in accordance with the following process:

- (a) the DCC shall, in consultation with the Parties and such other persons as are likely to be interested, produce a draft of the document;
- (b) where a disagreement arises with any Party or other person with regard to any proposal as to the content of the document, the DCC shall endeavour to reach an agreed proposal with that person consistent with the purposes of the Transition and Migration Approach Document;
- (c) the DCC shall send a draft of the Transition and Migration Approach Document to the Secretary of State as soon as is practicable after completion of the process described in (a) and (b) above, and shall when doing so provide to the Secretary of State:
  - (i) a statement of the reasons why the DCC considers that draft to be fit for purpose;
  - (ii) copies of the consultation responses received; and
  - (iii) a summary of any disagreements that arose during consultation and that have not been resolved by reaching an agreed proposal; and
- (d) the DCC shall comply with any requirements in a direction given to it by the Secretary of State in relation to the draft document, including:
  - (i) any amendments to be made to the draft document;
  - (ii) any requirement to produce and submit to the Secretary of State a further draft of the document; and
  - (iii) any requirement as to the process to be followed by the DCC (and the time within which that process shall be completed) prior to submitting a further such draft.

N6.5 The DCC shall, where so directed by the Secretary of State from time to time, develop and consult upon a further draft of the Transition and Migration Approach Document and submit it to the Secretary of State in accordance with the process set out in Section N6.4.

#### **Application of the Transition and Migration Approach Document**

- N6.6 The DCC and the categories of Party referred to in the Transition and Migration Approach Document shall comply with the Transition and Migration Approach Document.
- N6.7 The Transition and Migration Approach Document shall have priority over the other SEC Subsidiary Documents in relation to the subject matter of the Transition and Migration Approach Document.

#### **Expiry of Transition and Migration Approach Document**

- N6.8 The Transition and Migration Approach Document shall provide for a date (or a mechanism for determining a date) from which the Transition and Migration Approach Document is to no longer apply. From such date, the Transition and Migration Approach Document shall no longer have any effect (but without prejudice to the rights and obligations arising prior to that date).

#### **Interpretation**

- N6.9 Expressions used in this Section N6 and in the Transition and Migration Approach Document shall be interpreted in accordance with Section A (Definitions and Interpretation), rather than Section N1 (Definitions for this Section N).".

26 In Section T, in Section T4, in Section T4.15, after "by virtue of variations" delete "made under Section X3.6 (Provisions to be Effective Subject to Variations)" and insert "that were made under Section X3 (Provisions to become Effective Following Designation)".

27 In Section X –

(a) in Section X1 –

- (i) in Section X1.3(b), after "in accordance with Section X1.5(a)" insert "and/or X1.5A(a)";
- (ii) after existing Section X1.4 and the heading "Ending of the Application of this Section X" delete existing Section X1.5 and insert a new Section X1.5 as follows –

"X1.5 With effect from the earlier of:

- (a) Completion of Implementation; or
- (b) 31 October 2018,

this Code shall automatically be modified so as to delete the following provisions of this Section X (and all variations to this Code provided for in, or made by directions pursuant to, the following provisions shall cease to apply):

- (i) Section X1.11;
- (ii) Section X2 (Effective Provisions at Designation), except for:

- (A) Section X2.3(d), which shall continue to apply, but re-numbered as Section X2.1; and
  - (B) Sections X2.7 and X2.8, which shall continue to apply, but re-numbered as Sections X2.2 and X2.3 respectively;
- (iii) Section X3 (Provisions to Become Effective Following Designation), except for:
  - (A) Section X3.1, which shall continue to apply, but amended to read: "Each Section, Schedule and SEC Subsidiary Document (or any part thereof) shall be effective, unless (at the time of a provision being added or modified by the Secretary of State pursuant to section 88 of the Energy Act 2008) the Secretary of State directs that such addition or modification is not to have effect, or is not to have effect until a later date. Where the Secretary of State directs that an addition or modification is not to have effect, the Secretary of State may subsequently designate a date from which it is to have effect."; and
  - (B) Section X3.9, which shall continue to apply, but re-numbered as X3.2;
- (iv) Section X4 (Governance Set-up Arrangements);
- (v) Section X6 (Transitional Variations);
- (vi) Section X7 (Transitional Incident Management Procedures);
- (vii) Section X8 (Developing CH Support Materials); and
- (viii) Section X10 (Threshold Anomaly Detection Procedures)."; and
- (iii) after the new Section X1.5, insert a new Section X1.5A as follows –
 

"X1.5A With effect from the earlier of:

  - (a) Completion of Implementation; or
  - (b) 31 December 2020,

this Section X (and any variations to this Code provided for in, or made by directions pursuant to, this Section X) shall cease to apply (save as set out in Section X5.8), and this Code shall automatically be modified so as to delete this Section X.";
- (b) in Section X3 –
  - (i) in Section X3.2, after existing Section X3.2(e) insert a new Section X3.2(f) as follows –

- "(f) Section H7 (Elective Communication Services) shall have effect from 1 October 2018;";
    - (ii) renumber existing Sections X3.2(f) to X3.2(o) to Sections X3.2(g) to X3.2(p) respectively;
    - (iii) in renumbered Section X3.2(h), after "modified to include this Section" delete "X3.2(g)" and insert "X3.2(h)"; and
    - (iv) in renumbered Section X3.2(i), after "modified to include this Section" delete "X3.2(h)" and insert "X3.2(i)";
  - (c) in Section X5, in Section X5.8 –
    - (i) after "time limited in accordance with Section" delete "X1.5" and insert "X1.5A"; and
    - (ii) after "notwithstanding deletion of this" delete "Section X on Completion of Implementation" and insert "Section X5 in accordance with Section X1.5A"; and
  - (d) in Section X9, in Section X9.8, after "any testing of Systems under Section" delete "H14.31(b)" and insert "H14.31(c)".
- 28 In Section Z, after the heading of Section Z, insert "All references to "Communications Hubs" in this Section Z are references to "SMETS2+ Communications Hubs".".
- 29 In Schedule 7, in Schedule 1 to Schedule 7 –
- (a) in the second paragraph –
    - (i) after "comprise the provision of" insert "either or both"; and
    - (ii) after "described in Section H14.31(a)" insert "and (b)"; and
  - (b) after the existing second paragraph, insert a new third paragraph as follows –
 

"[The Enabling Services shall comprise the provision of SMETS1 Pending Product Combinations Tests in accordance with Section H14 (Testing Services). The DCC and the Participant shall each comply with their respective obligations set out or referred to in that Section H14 (the Participant complying with those obligations assigned to Testing Participants).]".