Smart Energy Code

SEC
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Legal Text

SECMP0061:

Enduring SEC Release Provisions

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Summary

This Modification seeks to make changes to the SEC to clarify the powers and obligations of the SEC Panel to oversee SEC Releases on an enduring basis.

About this document

This document contains the SEC legal text that will deliver the intent of SECMP0061.

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1. Draft Legal Text

This section sets out the draft Legal Text Changes for SECMP0061. These changes have been drafted against the Smart Energy Code (SEC) version 5.21[1] incorporating the changes to Section D10 being introduced under SECMP0008 'Provision of a DCC Alert (formerly Service Request Error Response) for Quarantined Service Requests'.

Section A 'Definitions and Interpretations'

Amend the following definitions in Section A1.1:

SEC Release	means ~~any~~ a package of one or more approved Modification Proposals ~~to be implemented in the SEC and/or SEC Subsidiary Document(s) that requires Release Management by the DCC or Users as set out in Section D10.7~~, ~~and is consequently undertaken~~ which is implemented in accordance with the ~~Panel~~ SEC Release Management Policy.
SEC Release Implementation Document	~~has the mean given to that expression in~~ means a document established under Section D10.1~~1~~2 (SEC Release Implementation Document) and which contains the information listed in Section D10.13.
~~Panel~~ SEC Release Management Policy	~~has the meaning given to that expression in~~means the document established under Section D10.7 (SEC Release Management Policy) and which contains the information listed in Section D10.8.
Technical Code Specifications	means the Technical Specifications, the GB Companion Specification, the DCC Gateway Connection Code of Connection, the DCC User Interface Code of Connection, the DCC User Interface Specification, the Self-Service Interface Design Specification, the Self-Service Interface Code of Connection, the Registration

[1]Note that if a new version of the SEC is designated before the submission of the Final Modification Report to the Change Board or Authority, the drafting will be checked to make sure there are no consequential impacts.

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Data Interface Documents, the Message Mapping Catalogue, the Incident Management Policy, the DCC Release Management Policy, the ~~Panel~~SEC Release Management Policy, the SMKI Interface Design Specification, the SMKI Code of Connection, the SMKI Repository Interface Design Specification, the SMKI Repository Code of Connection, and the SMETS1 Supporting Requirements.

Add the following new definition into Section A1.1 in alphabetical order:

SEC Release Testing Approach Document	means a document established under Section D10.18 (SEC Release Testing Approach Document) and which contains the information listed in Section D10.19 in relation to the testing to be undertaken by the DCC with regards to a SEC Release.

Section D 'Modification Process'

Amend Section D6.8 as follows:

D6 REFINEMENT PROCESS

Purpose of Refinement Process

D6.8 The purpose of the Refinement Process is to:

(a) consider and (to the extent necessary) clarify the likely effects of the Modification Proposal, including to identify the Parties, Party Categories, Energy Consumers and other persons likely to be affected by the Modification Proposal;

(b) evaluate and (to the extent necessary) develop and refine the content of the Modification Proposal;

(c) evaluate and (to the extent necessary) amend the proposed

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implementation timetable of the Modification Proposal including (where relevant) so as to ensure consistency with the ~~Panel~~ SEC Release Management Policy (provided that the proposed implementation timetable of a Path 1 Modification cannot be so amended);

(d) consider (to the extent the Working Group considers necessary) the impact which the Modification Proposal would have, if approved, on the matters referred to in Section D6.9(b);

(e) consider whether the DCC should, as part of the proposal's implementation (if the Modification Proposal is approved), be required to undertake testing of the DCC Total System and/or provide testing services; and (if so) ensure that the Modification Proposal includes amendments to this Code which provide a robust testing solution (or, if it is not yet reasonably practicable to document the testing solution, ~~which~~ provides a process for developing the testing solution);

(f) seek (to the extent the Working Group considers necessary) the Technical Architecture and Business Architecture Sub-Committee's views of the impact which the Modification Proposal would have, if approved, on the DCC Systems and Smart Metering Systems; provided that the Working Group shall always seek such views:

(i) in respect of proposals to modify the Technical Code Specifications; and/or

(ii) where the Technical Architecture and Business Architecture Sub-Committee has notified the Working Group that the Technical Architecture and Business Architecture Sub-Committee wishes to express a view;

(g) seek (to the extent the Working Group considers necessary) the Security Sub-Committee's views on the Modification Proposal; provided that the Working Group shall always seek such views:

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(i) in respect of proposals to modify the Security Obligations and Assurance Arrangements; and/or

(ii) where the Security Sub-Committee has notified the Working Group that the Security Sub-Committee wishes to express a view;

(h) seek (to the extent the Working Group considers necessary) the SMKI PMA's views on the Modification Proposal; provided that the Working Group shall always seek such views:

(i) in respect of proposals to modify the SMKI SEC Documents; and/or

(ii) where the SMKI PMA has notified the Working Group that the SMKI PMA wishes to express a view;

(i) seek (to the extent the Working Group considers necessary) the Alt HAN Forum's views on the Modification Proposal; provided that the Working Group shall always seek such views:

(i) in respect of proposals to modify Section Z (The Alt HAN Arrangements);

(ii) in respect of proposals to modify any SEC Subsidiary Document which relates to Section Z (The Alt HAN Arrangements);

(iii) in respect of proposals to modify Section K (Charging Methodology) which are likely to affect the Alt HAN Charges; and/or

(iv) where the Alt HAN Forum (or a Forum Sub-Group acting on its behalf) has notified the Working Group that it wishes to express a view;

(j) consider whether, if the Modification Proposal is approved, this Code would better facilitate the achievement of the SEC Objectives than if the

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Modification Proposal was rejected;

(k) consider whether it is likely that there would be a material impact on Greenhouse Gas Emissions as a result of the Modification Proposal being approved, and (if so) assessing such impact (which assessment shall be conducted in accordance with any guidance on the evaluation of Greenhouse Gas Emissions issued by the Authority from time to time); and

(l) consider whether, if the Modification Proposal is approved, changes are likely to be required to other Energy Codes as a result.

Amend Sections D10 as follows:

D10 IMPLEMENTATION

General

D10.1 Once a Modification Proposal has been approved in accordance with Section D9 (Modification Proposal Decision) or an Authority-Led Variation~~s~~ has been approved in accordance with Section D9A.11 (Authority Decision), the Panel shall ensure that this Code is varied in accordance with the Modification Proposal or Authority-Led Variation, as set out in this Section D10. Authority-Led Variations are to be treated as Path 1 Modifications for the purposes of this Section D10 (and references to Modification Proposals shall be interpreted accordingly).

Implementation

D10.2 The Panel shall, at the next Panel meeting after a Modification Proposal has been approved:

(m) determine what actions are required in order to ensure that the approved variation to this Code is made in accordance with the approved implementation timetable; and

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(n) set a timetable for the completion of each of those actions.

D10.3 It shall be the duty of the Panel to ensure that the actions which are required to secure that an approved variation to this Code is made in accordance with the approved implementation timetable are taken.

D10.4 Each Party shall co-operate with the Panel to the extent required to ensure that such variation is made with effect from such date.

Subsequent Amendment to Implementation Timetable

D10.5 Where, having regard to representations received from the Code Administrator or from any Party, the Panel considers that it is not reasonably practicable to make the approved variation to this Code in accordance with the approved implementation timetable:

(a) the Panel may request the Authority to direct that a new implementation timetable be substituted for the first such timetable; and

(b) where the Authority makes such a direction following a request by the Panel, the implementation timetable directed by the Authority shall have effect in substitution for the first such timetable, and the requirements of this Section D10 shall be defined by relation to that later date.

D10.6 Without prejudice to the generality of Section D10.5, the Panel shall make a request to the Authority under that Section where:

(a) the decision of the Authority to approve the relevant Modification Proposal is subject to an appeal pursuant to section 173 of the Energy Act 2004 or is challenged by judicial review; and

(b) the Panel considers that it is appropriate in the circumstances for the timetable to be delayed given such appeal or challenge.

SEC Release Management Policy

D10.7 ~~To the extent that~~The implementation of an approved Modification Proposal

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will ~~involve Release Management (or require the DCC or Users to undertake Release Management as a consequence of the Modification Proposal),~~take place as part of a SEC Release. ~~t~~The Panel shall ensure that ~~such~~ the implementation of a SEC Release is undertaken in accordance with a policy ~~for Release Management~~determined by the Panel (the "~~Panel~~ SEC Release Management Policy").

D10.8 The Panel shall ensure that the ~~Panel~~ SEC Release Management Policy:

~~(a) defines the scope of the matters that are to be subject to the policy in a manner consistent with the Service Management Standards;~~

~~(b)~~(a) includes a mechanism for ~~setting priorities for different types of such matters~~allocating Modification Proposals into SEC Releases;

~~(c)~~(b) ~~defines periods of change freeze where no such matters may be implemented~~defines a mechanism by which the Panel shall co-ordinate and oversee the content and delivery of a SEC Release; ~~and~~

(c) defines ~~periods of~~ a mechanism by which notice is to be given to ~~the~~ Users prior to the implementation of ~~such matters~~a SEC Release;

(d) defines a mechanism by which the Panel shall review the main components of the forecast and actual costs of a SEC Release and, if requested by the Authority, how the Panel shall provide a report on this to the Authority; and

~~(d)~~(e) defines a mechanism by which the Panel shall determine that the SEC Release shall be put into live operation.

D10.9 The Panel shall make the ~~Panel~~ SEC Release Management Policy available to the DCC and Users on the SEC Website. The Panel shall consult with the DCC and Users before it first establishes the ~~Panel~~ SEC Release Management Policy, and before it makes any changes to the ~~Panel~~ SEC Release Management Policy.

D10.10The DCC shall co-operate with the Panel in planning and implementing SEC

Releases in accordance with the SEC Release Management Policy and shall provide any information reasonably requested by the Panel for this purpose.

D10.11 The Panel may appoint, or require DCC to appoint, an external auditor to monitor the DCC's implementation process, plans and progress in support of a SEC Release, and shall approve any external auditor's terms of reference. The DCC must co-operate with any external auditor that is appointed, including (but not limited to) allowing access to such records, test results, test laboratories and test witnessing as the external auditor may reasonably require.

SEC Release Implementation Document

~~D~~10.1~~0~~2 ~~To support the Panel in discharging the activities set out in Section D10.2, t~~The Panel shall develop and publish a "SEC Release Implementation Document" for each SEC Release in accordance with the ~~Panel~~ SEC Release Management Policy. ~~The DCC shall be required to undertake the implementation and testing activities as set out in the relevant Release Implementation Document once approved by the Panel.~~

D10.1~~1~~3 The Panel shall ensure that each SEC Release Implementation Document:

(a) ~~D~~defines the content of ~~a~~the SEC Release;

(b) ~~D~~defines the timescales associated with implementing the content of ~~a~~the SEC Release, including timescales for the commencement and completion of DCC and User testing phases;

(c) defines how the DCC shall report progress towards readiness;

~~(c)~~(d) Defines the testing that will be undertaken by the DCC for the SEC Release;

~~(i) To help define the DCC testing, the DCC, on request of the Panel, shall produce a document setting out the testing approach to meet requirements of each approved Modification Proposal~~

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~~within each SEC Release;~~

~~(d)~~(e) Defines the required ~~level of~~ User testing and how the DCC shall support Users to test the changes that make up ~~each~~ the SEC Release; and

~~(e)~~(f) Defines the SEC Release ~~acceptance~~ go-live criteria that shall be agreed by the Panel in accordance with the SEC Release Management Policy.

D10.14 The DCC shall provide any information reasonably requested by the Panel that is required for inclusion in the SEC Release Implementation Document for a SEC Release.

D10.1~~2~~5 The Panel shall approve the SEC Release Implementation Document and any subsequent amendments. ~~The Release Implementation Document cannot be further updated after the periods of notice defined in the Panel Release Management Policy (in accordance with Section D10.8(d)).~~

D10.16 The DCC shall be required to undertake the implementation and testing activities for a SEC Release as set out in the relevant SEC Release Implementation Document once approved by the Panel.

D10.1~~3~~7 Any Party that wishes to appeal the Panel approval of the SEC Release Implementation Document~~,~~ may do so within 10 Working Days following the publication of the decision to approve. Any appeal referred to the Authority~~,~~ must specify the reasons for the appeal. The Authority shall determine what action to take with the appeal (which determination shall, without prejudice to section 173 of the Energy Act 2004, be final and binding for the purposes of this Code).

SEC Release Testing Approach Document

D10.18 The DCC, on request of the Panel, shall produce a document setting out how the requirements of Sections D10.13(d) and (e) will be satisfied (the "SEC Release Testing Approach Document"). A SEC Release Testing Approach Document shall be considered a part of the SEC Release Implementation Document for the relevant SEC Release.

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D10.19 The DCC shall ensure that each SEC Release Testing Approach Document:

(a) defines the testing objectives, including the assurance to be achieved;

(b) defines the testing strategy that will be followed; and

(c) sets out the consequences of the testing strategy, including costs and risks in business terms.

D10.20 The DCC shall prepare and consult upon each SEC Release Testing Approach Document and any subsequent amendments. The Panel shall review each SEC Release Testing Approach Document and any subsequent amendments.

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