Version Z 1.1 Draft

APPENDIX Z

CPL Requirements Document

1   Overview

1.1   This Appendix supplements Section F2 (Central Products List).

2   Central Products List Contents

2.1   The Panel shall ensure that the Central Products List identifies each Device Model by Physical Device Type, and lists the following matters in respect of each Device Model:

(a)   Manufacturer and model;

(b)   hardware version;

(c)   firmware version;

(d)   for SMETS2+ Device Models, the version of the SMETS or CHTS (as applicable) and (in each case) the GBCS version for which the Device Model has one or more Assurance Certificates;

(e)   for SMETS1 Device Models, the version of SMETS notified to the Panel under Clause 3;

(f)   for SMETS2+ Device Models, the identification numbers for each of the Device Model's Assurance Certificates (including the version of the relevant standard against which each Assurance Certificate was issued);

(g)   where the Device Model is required to have an associated CPA Certificate, the expiry date of the Device Model's CPA Certificate and the associated version of the Security Characteristics (as defined in the relevant Technical Specification); and

(h)   where there is an associated Manufacturer Image:

(i)   the relevant identity of the person who created the Manufacturer Image;

(ii)   a descriptor of the Manufacturer Image; and

(iii) the Hash of the Manufacturer Image (to be provided pursuant to Clause 4).

3 <u>Addition of Device Models to the List</u>

3.1 For SMETS2+ Device Models, the Panel shall only add Device Models to the Central Products List once the Panel has received all the Assurance Certificates required (under the Technical Specifications) to be obtained in respect of Device Models of the relevant Physical Device Type (which Assurance Certificates may be provided to the Panel by a Party or any other person).

3.2 For SMETS1 Device Models, the Panel shall only add a Device Model to the Central Products List once the Panel has received a notification from the DCC stating that it has received a confirmation from a Supplier Party in accordance with Clause 3.3, and specifying the relevant Sub-Version of SMETS1 with which Devices of that Device Model are said to comply (as referred to in Clause 3.3).

3.3 The DCC shall only send a notification to the Panel in respect of a Device Model (as referred to in Clause 3.2) once the DCC has received from a Supplier Party a confirmation:

(a) that the Device Model represents one or more Devices which:

(i) comply with SMETS1; or

(ii) when combined with one or more Devices of Device Models already listed on the Central Products List (or simultaneously proposed for inclusion on the list) comply with SMETS1;

(b) of the Sub-Version of SMETS1 with which the Devices of that Device Model comply; and

(c) that Devices of that Device Model (either alone or when combined with other Devices as referred to in Clause 3.3(a)(ii)):

(i) have a technical interface with DCC Systems that is materially identical to; and

(ii)   insofar as it is relevant to that interface, function in a manner that is materially identical to a group of Devices of Device Models that is identified on the SMETS1 Eligible Product Combinations List as being one in relation to which SMETS1 Service Requests are generally able to be Successfully Executed by the DCC.

4   Association of Hashes with Device Models on the CPL

4.1   Where the DCC or a Supplier Party wishes the Panel to associate the Hash of a Manufacturer Image with a Device Model on the Central Products List, that Party shall provide the Hash and the identity of the person who created the Manufacturer Image in a communication to the Panel which has been Digitally Signed by the person who created the Manufacturer Image in a manner that reasonably enables the Panel to check that the communication originates from the person who created the Manufacturer Image.

4.2   The Panel may specify the format which the communication referred to in Clause 4.1 must take (in which case Parties sending such communications must use such format). The Panel shall notify the relevant Parties of any such required format and of any changes to such required format that the Panel may make from time to time.

4.3   The Panel shall only associate a Hash provided under Clause 4.1 with a Device Model on the Central Products List where:

(a)   the Panel has successfully confirmed that the Digital Signature referred to in Clause 4.1 is that of the person who created the Manufacturer Image (validated as necessary by reference to a trusted party);

(b)   there is no Hash currently associated with the Device Model; provided that, if there is a Hash currently associated with the Device Model, the Panel shall investigate the matter with the relevant Parties to identify whether it is appropriate to replace the associated Hash (and shall, where it is appropriate to do so, update the Central Products List accordingly); and

(c)   if the Device Model is a SMETS1 Device Model, the communication to the Panel referred to in Clause 4.1 is from the DCC.

5   **Adding Device Models to CPA Certificates**

5.1   An existing CPA Certificate for a Device Model may allow one or more additional Device Models to be added under that existing CPA Certificate, provided that any additional Device Model differs from the Device Model for which the CPA Certificate was originally issued only by virtue of having different versions of hardware and/or firmware that do not have a significant impact on the security functions of the Device Model (as set out in the CPA Assurance Maintenance Plan). Where this is the case:

(a)   the DCC for Communications Hubs; or

(b)   a Supplier Party for Device Models of all other Physical Device Types,

may notify the Panel of one or more additional Device Models to be added to the CPA Certificate.

5.2   Where the DCC or a Supplier Party notifies the Panel of an additional Device Model pursuant to Clause 5.1, the DCC or the Supplier Party shall:

(a)   only do so in accordance with the terms of the relevant CPA Assurance Maintenance Plan; and

(b)   retain evidence that it has acted in accordance with the terms of the relevant CPA Assurance Maintenance Plan, such evidence to be provided to the Panel or the Authority on request.

5.3   The Panel shall not be required to check whether the DCC or a Supplier Party (as applicable) is entitled to add a Device Model under the terms of the CPA Certificate and the CPA Assurance Maintenance Plan (as described in Clause 5.1).

6   **Removal of Device Models from the List**

6.1   Where an Assurance Certificate for a Device Model is withdrawn or cancelled by the Assurance Certification Body or (in the case of CPA Certificates) expires, then the Panel shall remove that Device Model from the Central Products List.

6.2   The DCC and each Supplier Party shall notify the Panel of any withdrawal, expiry or

cancellation of an Assurance Certificate of which the DCC or Supplier Party becomes aware. Where removal occurs as a result of the withdrawal, expiry or cancellation of an Assurance Certificate, the Panel shall only remove a Device Model from the Central Products List after the Panel has confirmed with the relevant Assurance Certification Body that the Assurance Certificate for that Device Model has expired or has been withdrawn or cancelled (and no new Assurance Certificate has been provided to the Panel under Clause 3).

6.2A   The Panel may also remove a SMETS1 Device Model from the Central Products List where either:

(a)   the Security Sub Committee advises that the Device Model should be removed from the Central Products List; or

(b)   it is determined by the Authority or by the Panel under Section F3 (Panel Dispute Resolution Role) that Devices of the relevant Device Model are not compliant with SMETS1 (either on their own or in combination with Devices of other Device Models listed on the Central Products List).

6.2B   The Panel may reinstate to the Central Products List a SMETS1 Device Model that it has removed pursuant to Clause 6.2A; provided that the Panel may only reinstate a Device Model that has been removed pursuant to Clause 6.2A(b) where it determines that the issue that gave rise to the removal of the Device Model has been rectified.

6.3   For the purposes of this Code, a Communications Hub Function or a Gas Proxy Function shall be considered to be on (or not on) the Central Products List if the Communications Hub of which it forms part is on (or not on) the Central Products List.

6.4   The Panel may provide for the removal of a Device Model from the Central Products List by marking that Device Model as 'removed'. All references in this Code to the removal of a Device Model from the Central Products List (and similar expressions) shall be interpreted accordingly.

7   Digital Signatures on CPL

7.1   When providing an updated Central Products List (or extract of it) to the DCC, the Panel

shall provide a copy of the Central Products List (or of that extract) that is Digitally Signed so as to reasonably enable the DCC to check that the updates to the Central Product List originate from the Panel.

7.2   The DCC shall, before using and relying upon the Central Products List received by the DCC from the Panel, first confirm that the Digital Signature referred to in Clause 7.1 is that of the Panel (validated as necessary by reference to a trusted party).

7.3   Following receipt by the DCC of an updated Central Products List from the Panel, the DCC shall take all reasonable steps to establish whether the update included the removal of one or more Device Models from the Central Products List. Where the DCC establishes that an update did include the removal of one or more Device Models from the Central Products List, then:

(a)   the DCC shall take all reasonable steps to confirm that it was the intention of the Panel to remove such Device Models from the Central Products List; and

(b)   where the DCC reasonably believes that it was not the intention of the Panel to remove such Device Models from the Central Products List, the DCC shall notify the Panel that this is the case and (notwithstanding Section F2.9) shall ignore the updated Central Products List.