

**SECTION A: DEFINITIONS AND INTERPRETATION**

**A1 DEFINITIONS**

A1.1 In this Code, except where the context otherwise requires, the expressions in the left hand column below shall have the meanings given to them in the right hand column below:

**Acceptance Testing** means testing of a software release undertaken by Users in order to determine whether the required specification for that software is met.

**Accession Agreement** means an accession agreement entered into pursuant to Section B1 (Accession).

**Acknowledgement** means, in respect of a communication sent by a User to the DCC over the DCC User Interface, a communication by the DCC to the User via the DCC User Interface acknowledging receipt of the User's communication.

**Affected Party** has the meaning given to that expression in the definition of Force Majeure.

**Affiliate** means, in relation to any person, any holding company of that person, any subsidiary of that person or any subsidiary of a holding company of that person, in each case within the meaning of section 1159 of the Companies Act 2006.

**Agency for the Co-operation of Energy Regulators** means the agency of that name established under Regulation 2009/713/EC of the European Parliament and of the Council of 13 July 2009 establishing an Agency for the Co-operation of Energy Regulators.

**Alert** has the meaning given to 'Alert' in the GB Companion

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Specification.

### **Alt HAN Arrangements**

has the meaning given to that expression in condition 22.20(e) (Principal contents within the Smart Energy Code) of the DCC Licence.

### **Alt HAN Charges**

means the Fixed Alt HAN Charges calculated in accordance with Section K5A or K6B (as applicable) taken together with the Explicit Charges in respect of the Explicit Charging Metrics at Section K7.5(t) and (u).

### **Alternate**

has the meaning given to that expression in Section C5.19 (Alternates).

### **Alternative Proposal**

has the meaning given to that expression in Section D6.15 (Alternative Proposals).

### **Anomalous Event**

means, in relation to any System, an activity or event that is not expected to occur in the course of the ordinary operation of that System.

### **Anomaly Detection**

means:

#### **Threshold**

- (a) in respect of a User, a number of communications within a period of time, where both that number and the period of time are set by the User;
- (b) in respect of the DCC, either:
  - (i) a number of communications within a period of time, where both that number and the period of time are set by the DCC; or
  - (ii) a maximum or minimum data value within a communication, where that

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value is set by the DCC,

in each case in accordance with the requirements of Section G6 applying (respectively) to the User or the DCC.

- Applicant** has the meaning given to that expression in Section B1.1 (Eligibility for Admission).
- Application Fee** has the meaning given to that expression in Section B1.5 (Application Fee).
- Application Form** means a form requesting the information set out in Schedule 5 (and which must not request any further information), in such format as the Code Administrator may determine from time to time.
- Application Guidance** has the meaning given to that expression in Section B1.4 (Application Form and Guidance).
- Application Server** means a software framework that enables software applications to be installed on an underlying operating system, where that software framework and operating system are both generally available either free of charge or on reasonable commercial terms.
- Appropriate Permission** means, in respect of a Communication Service or Local Command Service to be provided to a User in respect of a Smart Metering System at a premises that will result in the User obtaining Consumption Data, either:
- (a) (where that User is the Import Supplier, Export Supplier, Gas Supplier, Electricity Distributor or Gas Transporter for that Smart Metering System) that the User does not need consent to access that Consumption Data in accordance

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with its Energy Licence, or that the User has consent (whether explicit or implicit) in accordance with the requirements of its Energy Licence; or

- (b) (where that User is not the Import Supplier, Export Supplier, Gas Supplier, Electricity Distributor or Gas Transporter for that Smart Metering System) that the Energy Consumer has given the User explicit consent to obtain that Consumption Data and such consent has not been withdrawn.

### **Approved Budget**

has the meaning given to that expression in Section C8.13 (Approval of Budgets).

### **Approved Finance Party**

means, in respect of each Communications Hub Finance Facility, the person to whom the DCC accepts payment obligations under the Direct Agreement relating to that facility, and which has (from time to time) been notified by the DCC to the Authority and the Panel as meeting the requirements of this definition.

### **Associated**

means:

- (a) in respect of a Smart Meter, that the Smart Meter is identified in the Smart Metering Inventory as being associated with a Communications Hub Function; and
- (b) in respect of any Device other than a Smart Meter or a Communications Hub Function, that the Device is identified in the Smart Metering Inventory as being associated with a Smart Meter or with a Gas Proxy Function,

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and the expression “**Associate**” shall be interpreted accordingly.

<b>Assurance Certificate</b>	has the meaning given to that expression in Section F2.4 (Background to Assurance Certificates).
<b>Assurance Certification Body</b>	has the meaning given to that expression in Section F2.3 (Background to Assurance Certificates).
<b>Authorised Business</b>	in relation to the DCC, has the meaning given in the DCC Licence.
<b>Authorised Subscriber</b>	means a Party or RDP which is an Authorised Subscriber for the purposes of (and in accordance with the meaning given to that expression in) any of the Certificate Policies.
<b>Authority</b>	means the Gas and Electricity Markets Authority as established under section 1 of the Utilities Act 2000.
<b>Back-Up</b>	means, in relation to Data which is held on any System, the storage of a copy of that Data for the purpose of ensuring that the copy may be used (if required) to restore or replace the original Data; and “Backed-Up” is to be interpreted accordingly.
<b>Bank Guarantee</b>	means an on demand bank guarantee in a form reasonably acceptable to the DCC from a bank with the Required Bank Rating which guarantee has not been breached or disclaimed by the provider and has at least one month left until it expires.
<b>Batched Certificate Signing Request</b>	has the meaning given to that expression in Section L8.2 (SMKI Services: Target Response Times).
<b>BCDR Procedure</b>	means the Business Continuity and Disaster Recovery Procedure.

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<b>Bilateral Agreement</b>	means an agreement entered into pursuant to Section H7 (Elective Communication Services) between the DCC and a User.
<b>Business Continuity and Disaster Recovery Procedure</b>	means that part of the Incident Management Policy which describes the business continuity and disaster recovery procedures applicable to the Services.
<b>Cash Deposit</b>	means a deposit of funds by or on behalf of the User into a bank account in the name of the DCC, such that title in such funds transfers absolutely to the DCC.
<b>Certificate</b>	means a Device Certificate, DCA Certificate, Organisation Certificate, OCA Certificate, IKI Certificate or ICA Certificate.
<b>Certificate Policy</b>	means the Device Certificate Policy, the Organisation Certificate Policy, or the IKI Certificate Policy.
<b>Certificate Signing Request</b>	means a request for a Certificate submitted by an Eligible Subscriber in accordance with the SMKI RAPP.
<b>Certified Products List</b>	has the meaning given to that expression in Section F2.1 (Certified Products List).
<b>CESG</b>	means the UK Government's national technical authority for information assurance.
<b>CESG CHECK</b>	means the scheme of that name which is administered by CESG, or any successor to that scheme.
<b>CESG Listed Advisor Scheme (CLAS)</b>	means the scheme of that name which is administered by CESG, or any successor to that scheme.
<b>CESG Tailored Assurance Service (CTAS)</b>	means the scheme of that name which is administered by CESG, or any successor to that scheme.

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<b>CH Batch Fault</b>	has the meaning given to that expression in Section F9.20 (Liquidated Damages for CH Batch Faults).
<b>CH Batch Fault Payment</b>	has the meaning given to that expression in Section F9.21 (Liquidated Damages for CH Batch Faults).
<b>CH Defect</b>	means, in respect of a Communications Hub, any fault or defect in relation to the Communications Hub (including any failure: to conform in all respects with, and be fit for the purposes described in, the CHTS; to be free from any defect in design, manufacture, materials or workmanship; and to comply with all applicable Laws and/or Directives including with respect to product safety), which is not caused by a breach of this Code by a Party other than the DCC.
<b>CH Fault Diagnosis</b>	has the meaning given to that expression in Section F9.7 (CH Fault Diagnosis).
<b>CH Handover Support Materials</b>	means, in respect of each Region, the SEC Subsidiary Document of that name set out in Appendix H and applying to that Region, which document is originally to be developed pursuant to Section X8 (Developing CH Support Materials).
<b>CH Installation and Maintenance Support Materials</b>	means, in respect of each Region, the SEC Subsidiary Document of that name set out in Appendix [TBC] and applying to that Region, which document is originally to be developed pursuant to Section X8 (Developing CH Support Materials).
<b>CH Order Management System</b>	means that part of the CH Ordering System described as the 'Order Management System' in the CH Handover Support Materials.
<b>CH Ordering System</b>	has the meaning given to that expression in Section

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	F5.20 (CH Ordering System).
<b>CH Post-Installation DCC Responsibility</b>	has the meaning given to that expression in Section F9.6 (Categories of Responsibility).
<b>CH Pre-Installation DCC Responsibility</b>	has the meaning given to that expression in Section F9.6 (Categories of Responsibility).
<b>CH Support Materials</b>	means the CH Handover Support Materials and the CH Installation and Maintenance Support Materials.
<b>CH Type Fault</b>	has the meaning given to that expression in Section F9.16 (Liquidated Damages for CH Type Faults).
<b>CH Type Fault Payment</b>	has the meaning given to that expression in Section F9.19 (Liquidated Damages for CH Type Faults).
<b>CH User Responsibility</b>	has the meaning given to that expression in Section F9.6 (Categories of Responsibility).
<b>Change Board</b>	has the meaning given to that expression in Section D8.1 (Establishment of the Change Board).
<b>Change Board Member</b>	has the meaning given to that expression in Section D8.4 (Membership of the Change Board).
<b>Charges</b>	means the charges payable to the DCC pursuant to this Code (including pursuant to Bilateral Agreements).
<b>Charging Methodology</b>	means the methodology for determining the Charges, as set out in Section K (Charging Methodology).
<b>Charging Objectives</b>	has the meaning given to that expression in Section C1 (SEC Objectives).
<b>Charging Statement</b>	means, from time to time, the statement prepared by DCC pursuant to Condition 19 of the DCC Licence that is in force at that time.



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<b>Check Cryptographic Protection</b>	means, in respect of a communication, to check the Digital Signature or Message Authentication Code within the communication (as applicable) using: <ul style="list-style-type: none"><li>(a) the Public Key contained in the certificate issued by the relevant Certificate Authority associated with the Private Key of the person or device that the communication identifies, or implies has generated the Digital Signature;</li><li>(b) where applicable, the recipient's relevant Private Key; and</li><li>(c) the relevant algorithm identified in the certificate policy under which the relevant certificates were issued (or, where such certificate or certificate policy does not exist, the appropriate algorithm).</li></ul>
<b>CHTS</b>	means the Communications Hub Technical Specification.
<b>Citizens Advice</b>	means the National Association of Citizens Advice Bureaux.
<b>Citizens Advice Scotland</b>	means the Scottish Association of Citizens Advice Bureaux.
<b>Code</b>	means this Smart Energy Code (including its Schedules and the SEC Subsidiary Documents).
<b>Code Administration Code of Practice</b>	means the document of that name as approved by the Authority from time to time.
<b>Code Administration Code of Practice Principles</b>	means the principles set out as such in the Code Administration Code of Practice.
<b>Code Administrator</b>	has the meaning given to that expression in Section

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C7.1 (Code Administrator).

- Code Performance Measure** means a performance measure set out in either Section H13.1 (Code Performance Measures) or Section L8.6 (Code Performance Measures).
- Command** means a communication to a Device in the format required by the GB Companion Specification and which incorporates all Digital Signatures and/or Message Authentication Codes required by the GB Companion Specification.
- Commercial Activities** includes, in particular, Energy Efficiency Services, Energy Management Services, Energy Metering Services, and Energy Price Comparison Services, in each case as defined in the DCC Licence and in relation to the Supply of Energy (or its use) under the Electricity Act and the Gas Act.
- Commissioned** means, in respect of a Device, that:
- (a) the Device has been commissioned in accordance with the Smart Metering Inventory Enrolment and Withdrawal Procedures; and
  - (b) the Device has not subsequently been Decommissioned, Withdrawn or Suspended,
- and "**Commission**" is to be interpreted in accordance with (a) above. A Communications Hub shall be considered to be Commissioned where the Communications Hub Function that forms part of that Communications Hub is Commissioned.
- Common Test Scenarios Document** means the SEC Subsidiary Document set out in Appendix [TBC], which is originally to be developed pursuant to Section T6 (Development of Enduring

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Testing Documents).

**Communication Services** means the Core Communication Services or the Elective Communication Services.

**Communications Hub** means a physical device that includes a Communications Hub Function together with a Gas Proxy Function; save that, when such expression is used in relation to the following provisions, such expression shall be interpreted in accordance with the definition of that expression in the DCC Licence:

- (a) the definitions of "CH Defect" and "Test Communications Hub"; and
- (b) Sections F5 (Communications Hub Forecasts & Orders), F6 (Delivery and Acceptance of Communications Hub Orders) and F10 (Test Communications Hubs).

**Communications Hub Auxiliary Equipment** means any additional, replacement or spare equipment or packaging (not forming part of a Communications Hub) that may be required by a Supplier Party in relation to the installation, maintenance or return of a Communications Hub, as listed by the DCC on the CH Ordering System from time to time.

**Communications Hub Charges** has the meaning given to the expression 'Fixed CH Charges' in Section K (Charging Methodology).

**Communications Hub Finance Acceleration Event** means, in respect of each Communications Hub Finance Facility, that:

- (a) an acceleration of repayment of the indebtedness thereunder occurs such that it is immediately due and payable by the borrower in circumstances where the DCC is liable for the same under the

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Direct Agreement; or

- (b) the DCC becomes liable under the Direct Agreement to immediately pay the unamortised asset value (and any associated finance costs in respect) of the Communications Hubs to which that facility relates.

### **Communications Hub Finance Charges**

means, in respect of each Communications Hub Finance Facility, the DCC's charge to recover the applicable Communications Hub Finance Costs (being a subset of the Communications Hub Charges), in an amount each month determined by the DCC at the time it produces an Invoice for that month (having regard to the requirements of Condition 36.5 of the DCC Licence).

### **Communications Hub Finance Costs**

means, in respect of each Communications Hub Finance Facility, the costs the DCC incurs in procuring the provision (but not the maintenance) of the tranche of Communications Hubs to which that facility relates.

### **Communications Hub Finance Facility**

means a facility arranged by a DCC Service Provider with an Approved Finance Party relating exclusively to the funding of the costs associated with acquiring a tranche of Communications Hubs, including by way of a loan facility, an equity subscription, or an assignment or sale of receivables.

### **Communications Hub Forecast**

has the meaning given to that expression in Section F5.2 (Communications Hub Forecasts).

### **Communications Hub Function**

means that part of a device installed (or to be installed) at a premises, which:

- (a) consists of the components or other apparatus

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identified in; and

- (b) as a minimum, has the functional capability specified by and complies with the other requirements of,

a version of the CHTS (but excluding those provisions that are described as applying only to 'Gas Proxy Functions') which was a Valid Technical Specification on the date on which the device was installed.

### **Communications Hub Hot Shoe**

means equipment, other than a Smart Meter, to which a Communications Hub can be connected (provided the Communications Hub complies with the ICHIS).

### **Communications Hub Order**

has the meaning given to that expression in Section F5.7 (Communications Hub Orders).

### **Communications Hub Products**

means, in respect of a Valid Communications Hub Order, the Communications Hubs of the applicable Device Models that are the subject of that order and/or the Communications Hub Auxiliary Equipment that is the subject of that order.

### **Communications Hub Services**

means those Services described in Sections F5 (Communications Hub Forecasts & Orders), F6 (Delivery and Acceptance of Communications Hub), F7 (Installation and Maintenance of Communications Hubs), F8 (Removal and Return of Communications Hubs), and F9 (Categories of Communications Hub Responsibility).

### **Communications Hub Technical Specification**

means the document(s) set out in Schedule [TBC].

### **Competent Authority**

means the Secretary of State, the Authority, and any local or regional or national agency, authority,

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department, inspectorate, minister, ministry, official or public or statutory person (whether autonomous or not) of the government of the United Kingdom or of the European Union (but only insofar as each has jurisdiction over the relevant Party, this Code or its subject matter).

### **Completion of Implementation**

has the meaning given to that expression in Section X1 (General Provisions Regarding Transition).

### **Compromised**

means:

- (a) in relation to any System, that the intended purpose or effective operation of that System is compromised by the occurrence of any event which has an adverse effect on the confidentiality, integrity or availability of the System or of any Data that are stored on or communicated by means of it;
- (b) in relation to any Device, that the intended purpose or effective operation of that Device is compromised by the occurrence of any event which has an adverse effect on the confidentiality, integrity or availability of the Device or of any Data that are stored on or communicated by means of it;
- (c) in relation to any Data, that the confidentiality, integrity or availability of that Data is adversely affected by the occurrence of any event;
- (d) in relation to any Secret Key Material, that that Secret Key Material (or any part of it), or any Cryptographic Module within which it is stored, is accessed by, or has become

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accessible to, a person not authorised to access it;

- (e) in relation to any Certificate, that any of the following Private Keys is Compromised:
  - (i) the Private Key associated with the Public Key that is contained within that Certificate;
  - (ii) the Private Key used by the relevant Certification Authority to Digitally Sign the Certificate; or
  - (iii) where relevant, the Private Key used by the relevant Certification Authority to Digitally Sign the Certification Authority Certificate associated with the Private Key referred to in (ii); and
- (f) in relation to any DCKKI Certificate, that any of the following Private Keys is Compromised:
  - (i) the Private Key associated with the Public Key that is contained within that DCKKI Certificate;
  - (ii) the Private Key used by the DCKKICA to Digitally Sign the DCKKI Certificate; or
  - (iii) where relevant, the Private Key used by the DCKKICA to Digitally Sign the DCKKICA Certificate associated with the Private Key referred to in (ii); and
- (g) in relation to any process or to the functionality of any hardware, firmware or software, that the intended purpose or effective operation of that process or functionality is compromised by the

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occurrence of any event which has an adverse effect on its confidentiality, integrity or availability,

(and “**Compromise**” and “**Compromising**” are to be interpreted accordingly).

**Confidential Information** means, in respect of a Party other than DCC, the Data belonging or relating to that Party or that otherwise becomes available to the DCC as a result (whether directly or indirectly) of that Party being a party to this Code.

**Confirm Validity** means:

- (a) where the person carrying out the check has not previously done so in relation to a particular certificate, to successfully confirm the certificate path validation by using:
  - (i) the path validation algorithm specified in IETF RFC 5280; or
  - (ii) where the algorithm identified in IETF RFC 5280 is not appropriate for the certificate for which validity is being confirmed, such other certificate path validation as is appropriate in relation to that type of certificate; or
- (b) where the person carrying out the check has previously carried out the check in paragraph (a) in relation to a particular certificate, that the certificate has not subsequently been revoked, and its validity period has not expired.

**Consignment** has the meaning given to that expression in Section



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F5.9 (Communications Hub Orders).

<b>Consultation Summary</b>	has the meaning given to that expression in Section D6.14 (Working Group Consultation).
<b>Consumer Data</b>	has the meaning given to that expression in Section M5.6 (Consumer Data).
<b>Consumer Member</b>	has the meaning given to that expression in Section C3.1 (Panel Composition).
<b>Consumer Prices Index</b>	means, in respect of any month, the consumer prices index (CPI) published for that month by the Office of National Statistics.
<b>Consumption Data</b>	means, in respect of a premises, the quantity of electricity or gas measured by the Energy Meter as having been supplied to the premises.
<b>Contingency Key Pair</b>	has the meaning given to that expression in Section L10.30(e) (Definitions).
<b>Contingency Private Key</b>	has the meaning given to that expression in Section L10.30(e)(i) (Definitions).
<b>Contingency Public Key</b>	has the meaning given to that expression in Section L10.30(e)(ii) (Definitions).
<b>Core Communication Services</b>	means the provision of the Services set out in the DCC User Interface Services Schedule, but excluding the Enrolment Services and Local Command Services.
<b>Correlate</b>	means, in respect of one or more Pre-Commands received by a User from the DCC in respect of a Service Request sent by that User, carrying out a process to check that the relevant contents of the Pre-Command is substantively identical to that of the

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Service Request using either (at the User's discretion):

- (a) the Parse and Correlate Software; or
- (b) equivalent software procured or developed by the User in accordance with Good Industry Practice,

and “**Correlated**” shall be interpreted accordingly.

### **CoS Party**

means the DCC when performing the tasks ascribed to the CoS Party in the Service Request Processing Document.

### **CPA Assurance Maintenance Plan**

means the document agreed with the CESG that describes the components of a device which, if changed, will require a new CPA Certificate to be issued.

### **CPA Certificates**

has the meaning given to that expression in Section F2.4 (Background to Assurance Certificates).

### **CPL Requirements Document**

means the SEC Subsidiary Document of that name set out as Appendix [TBC].

### **Credit Assessment Score**

means, in respect of a User, a credit assessment score in respect of that User procured from one of the credit assessment companies named in Section J3.8 (User's Credit Cover Factor). Where more than one credit assessment product is listed in respect of that company, it shall be the score determined in accordance with the listed product that the DCC reasonably considers the most appropriate for the User.

### **Credit Cover Factor**

has the meaning given to that expression in Section J3.4 (User's Credit Cover Factor).

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<b>Credit Cover Requirement</b>	has the meaning given to that expression in Section J3.2 (Calculation of Credit Cover Requirement).
<b>Credit Cover Threshold</b>	means, in respect of each Regulatory Year, £2,000, multiplied by the Consumer Prices Index for the October preceding the start of that Regulatory Year, divided by the Consumer Prices Index for October 2014. The relevant amount will be rounded to the nearest pound.
<b>Credit Support</b>	means one or more of a Bank Guarantee, Cash Deposit and/or Letter of Credit procured by a User pursuant to Section J3 (Credit Cover).
<b>CREST</b>	means the not-for-profit company registered in the United Kingdom with company number 06024007.
<b>Critical Command</b>	has the meaning given to that expression in the GB Companion Specification.
<b>Critical Service Request</b>	means a Service Request which is identified as critical in the DCC User Interface Specification (or, in the case of Elective Communication Services, the relevant Bilateral Agreement).
<b>Critical Service Response</b>	means a Service Response in respect of a Critical Service Request.
<b>Cryptographic Hash Function</b>	means an algorithm: <ul style="list-style-type: none"><li>(a) the inputs to which it would be computationally infeasible to determine from knowledge of its outputs; and</li><li>(b) in relation to which it would be computationally infeasible to find an input which generates the same output as any other input.</li></ul>

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<b>Cryptographic Module</b>	means a set of hardware, software and/or firmware that is Separated from all other Systems and that is designed for: <ul style="list-style-type: none"><li>(a) the secure storage of Secret Key Material; and</li><li>(b) the implementation of Cryptographic Processing without revealing Secret Key Material.</li></ul>
<b>Cryptographic Processing</b>	means the generation, storage or use of any Secret Key Material.
<b>Data</b>	means any information, data, knowledge, figures, methodologies, minutes, reports, forecasts, images or sounds (together with any database made up of any of these) embodied in any medium (whether tangible or electronic).
<b>Data Protection Act</b>	means the Data Protection Act 1998.
<b>Data Retention Policy</b>	means a document developed and maintained by a Party which sets out, in relation to Data held by that Party, the periods for which such Data will be held by it for the purpose of ensuring that it is able to satisfy its legal, contractual and commercial requirements in respect of the Data.
<b>DCA Certificate</b>	has the meaning given to that expression in Annex A of the Device Certificate Policy.
<b>DCC</b>	means, subject to Section M9 (Transfer of DCC Licence), the holder from time to time of the DCC Licence. In accordance with Section A2.1(l), references to the DCC shall (where applicable) include references to the DCC Service Providers with whom the DCC has contracted in order to secure performance of its obligations under this Code.

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<b>DCC Alert</b>	has the meaning given to that expression in the DCC User Interface Specification.
<b>DCC Gateway Bandwidth Option</b>	means a DCC Gateway HV Connection or a DCC Gateway LV Connection.
<b>DCC Gateway Connection</b>	means, for a premises, the physical infrastructure by which a connection is (or is to be) made between that premises and the DCC Systems (and each DCC Gateway Connection shall form part of the DCC Systems).
<b>DCC Gateway Connection Code of Connection</b>	means the SEC Subsidiary Document set out in Appendix G.
<b>DCC Gateway Equipment</b>	means, for each premises and any DCC Gateway Connection provided at that premises, that part of the DCC Gateway Connection that is (or is to be) located within that premises.
<b>DCC Gateway HV Connection</b>	means the high-volume technology solution by which the DCC provides DCC Gateway Connections, as further described in the DCC Gateway Connection Code of Connection.
<b>DCC Gateway LV Connection</b>	means the low-volume technology solution by which the DCC provides DCC Gateway Connections, as further described in the DCC Gateway Connection Code of Connection.
<b>DCC Gateway Party</b>	means a Party that is seeking or has been provided with a DCC Gateway Connection at its premises, or to whom the right to use that connection has been transferred in accordance with Section H15.16 (Use of a DCC Gateway Connection).

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<b>DCC ID</b>	means each identification number established by the DCC pursuant to Section H4.43 (DCC IDs).
<b>DCC Independent Security Assessment Arrangements</b>	has the meaning given to that expression in Section G9.1 (The DCC Independent Security Assessment Arrangements).
<b>DCC Independent Security Assurance Service Provider</b>	has the meaning given to that expression in Section G9.4 (The DCC Independent Security Assurance Service Provider).
<b>DCC Interfaces</b>	means each and every one of the following interfaces: <ul style="list-style-type: none"><li>(a) the DCC User Interface;</li><li>(b) the Registration Data Interface;</li><li>(c) the SMKI Repository Interface;</li><li>(d) the SMKI Services Interface;</li><li>(e) the Self-Service Interface; and</li><li>(f) the communications interfaces used for the purposes of accessing those Testing Services designed to be accessed via DCC Gateway Connections.</li></ul>
<b>DCC Internal Systems</b>	means those aspects of the DCC Total System for which the specification or design is not set out in this Code.
<b>DCC IT Supporting Systems</b>	means, with regard to the DCC's duty to Separate parts of the DCC Total System, those parts of the DCC Total System which are used to support the DCC Live Systems and DCC IT Testing and Training Systems.
<b>DCC IT Testing and</b>	means, with regard to the DCC's duty to Separate

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<b>Training Systems</b>	parts of the DCC Total System, those parts of the DCC Total System which are used to support the testing and training of DCC Personnel and third parties in relation to the provision of Services by the DCC.
<b>DCC Key Infrastructure (or DCCKI)</b>	means the public key infrastructure established by DCC to provide, amongst other things, transport layer security across DCC Gateway Connections.
<b>DCC Licence</b>	means the licences granted under section 6(1A) of the Electricity Act and section 7AB(2) of the Gas Act.
<b>DCC Live Systems</b>	<p>means, with regard to the DCC's duty to Separate parts of the DCC Total System, those parts of the DCC Total System which are used for the purposes of:</p> <ul style="list-style-type: none"><li>(a) (other than to the extent to which the activities fall within paragraph (b), (c) or (f) below) processing Service Requests, Pre-Commands, Commands, Service Responses and Alerts, holding or using Registration Data for the purposes of processing Service Requests and Signed Pre-Commands, and providing the Repository Service;</li><li>(b) Threshold Anomaly Detection and (other than to the extent to which the activity falls within paragraph (d) or (f) below) Cryptographic Processing relating to the generation and use of a Message Authentication Code;</li><li>(c) discharging the obligations placed on the DCC in its capacity as CoS Party;</li><li>(d) providing SMKI Services;</li><li>(e) the Self-Service Interface; and</li><li>(f) discharging the DCC's obligations under the</li></ul>

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	SMKI Recovery Procedure, each of which shall be treated as an individual System within the DCC Live Systems.
<b>DCC Member</b>	has the meaning given to that expression in Section C3.1 (Panel Composition).
<b>DCC Personnel</b>	means those persons who are engaged by the DCC, in so far as such persons carry out, or are authorised to carry out, any activity in relation to the Authorised Business.
<b>DCC Release Management Policy</b>	has the meaning given to that expression in Section H8.9 (Release Management).
<b>DCC Security Assessment Report</b>	has the meaning given to that expression in Section G9.7(a) (DCC Security Assessment Reports and Responses).
<b>DCC Security Assessment Response</b>	has the meaning given to that expression in Section G9.7(b) (DCC Security Assessment Reports and Responses).
<b>DCC Service Provider</b>	means an External Service Provider, as defined in the DCC Licence (but always excluding the DCC itself).
<b>DCC Service Provider Contract</b>	means, as between the DCC and each DCC Service Provider, any arrangement (however described) pursuant to which the DCC procures services for the purpose of providing the Services.
<b>DCC Systems</b>	means the DCC Total System, including the SM WAN but excluding all Communications Hubs.
<b>DCC Total System</b>	means the Systems used by the DCC and/or the DCC Service Providers in relation to the Services and/or this Code, including the DCC User Interface, SM WAN



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and Communications Hubs except for those Communications Hubs which are:

- (a) neither installed nor in the possession of the DCC; or
- (b) installed, but are not Commissioned.

<b>DCC User Interface</b>	means the communications interface designed to allow the communications referred to in Section H3.3 (Communications to be sent via the DCC User Interface) to be sent between the DCC and Users.
<b>DCC User Interface Code of Connection</b>	means the SEC Subsidiary Document of that name set out in Appendix [TBC].
<b>DCC User Interface Services</b>	means the Services described in the DCC User Interface Services Schedule.
<b>DCC User Interface Services Schedule</b>	means the SEC Subsidiary Document of that name set out in Appendix [TBC].
<b>DCC User Interface Specification</b>	means the SEC Subsidiary Document set out in Appendix [TBC].
<b>DCC Website</b>	means the DCC's publicly available website (or, where the Panel and the DCC so agree, the Website).
<b>DCCKI Authorised Subscriber</b>	means a Party or RDP which is a DCCKI Authorised Subscriber for the purposes of (and in accordance with the meaning given to that expression in) the DCCKI Certificate Policy.
<b>DCCKI Authority Revocation List (or DCCKI ARL)</b>	has the meaning given to that expression in the DCCKI Certificate Policy.
<b>DCCKICA Certificate</b>	has the meaning given to that expression in the

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	DCCKI Certificate Policy.
<b>DCCKI Certificate</b>	has the meaning given to that expression in the DCCKI Certificate Policy.
<b>DCCKI Certificate Policy</b>	means the SEC Subsidiary Document of that name set out in Appendix [TBD].
<b>DCCKI Certificate Revocation List (or DCCKI CRL)</b>	has the meaning given to that expression in the DCCKI Certificate Policy.
<b>DCCKI Certificate Signing Request</b>	means a request for a DCCKI Certificate submitted by a DCCKI Eligible Subscriber in accordance with the DCCKI Certificate Policy and the DCCKI RAPP.
<b>DCCKI Certification Authority (or DCCKICA)</b>	has the meaning given to that expression in the DCCKI Certificate Policy.
<b>DCCKI Certification Practice Statement (or DCCKI CPS)</b>	has the meaning given to that expression in Section L13.37 (the DCCKI Certification Practice Statement).
<b>DCCKI Code of Connection</b>	means the SEC Subsidiary Document of that name set out in Appendix [TBD], which:  (a) has the purpose described in Section L13.14 (DCCKI Code of Connection); and  (b) is originally to be developed pursuant to Sections L13.15 to L13.16 (DCCKI Interface Document Development).
<b>DCCKI Document Set</b>	has the meaning given to that expression in Section L13.33 (the DCCKI Document Set).
<b>DCCKI Eligible Subscriber</b>	has the meaning given to that expression in Section L13.8 (DCCKI Eligible Subscribers).

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<b>DCCKI Infrastructure Certificate</b>	has the meaning given to that expression in the DCCKI Certificate Policy.
<b>DCCKI Interface Design Specification</b>	means the SEC Subsidiary Document of that name set out in Appendix [TBD], which: <ul style="list-style-type: none"><li>(a) has the purpose described in Section L13.13 (DCCKI Interface Design Specification); and</li><li>(b) is originally to be developed pursuant to Sections L13.15 to L13.16 (DCCKI Interface Document Development).</li></ul>
<b>DCCKI Participants</b>	means the DCC (acting in its capacity as the provider of the DCCKI Services), all DCCKI Subscribers and all DCCKI Relying Parties.
<b>DCCKI PMA Functions</b>	has the meaning given to that expression in Section L13.54 (the DCCKI PMA Functions).
<b>DCCKI Registration Authority</b>	means the DCC, acting in its capacity as such for the purposes of (and in accordance with the meaning given to that expression in) the DCCKI Certificate Policy.
<b>DCCKI Registration Authority Policies and Procedures (or DCCKI RAPP)</b>	means the SEC Subsidiary Document of that name set out in Appendix [TBD], which is originally to be developed pursuant to Sections L13.35 to L13.36 (the DCCKI Registration Authority Policies and Procedures: Document Development).
<b>DCCKI Relying Party</b>	means a person who, pursuant to the Code, receives and relies upon a DCCKI Certificate.
<b>DCCKI Repository</b>	has the meaning given to that expression in Section L13.17 (the DCCKI Repository).
<b>DCCKI Repository Code of</b>	means the SEC Subsidiary Document of that name set

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<b>Connection</b>	out in Appendix [TBD], which: <ul style="list-style-type: none"><li>(a) has the purpose described in Section L13.28 (DCCKI Repository Code of Connection); and</li><li>(b) is originally to be developed pursuant to Sections L13.29 to L13.30 (DCCKI Repository Interface Document Development).</li></ul>
<b>DCCKI Repository Interface</b>	has the meaning given to that expression in Section L13.26 (the DCCKI Repository Interface).
<b>DCCKI Repository Interface Design Specification</b>	means the SEC Subsidiary Document of that name set out in Appendix [TBD], which: <ul style="list-style-type: none"><li>(a) has the purpose described in Section L13.27 (DCCKI Repository Interface Design Specification); and</li><li>(b) is originally to be developed pursuant to Sections L13.29 to L13.30 (DCCKI Repository Interface Document Development).</li></ul>
<b>DCCKI Repository Service</b>	has the meaning given to that expression in Section L13.18 (the DCCKI Repository Service).
<b>DCCKI SEC Documents</b>	has the meaning given to that expression in Section L13.34 (the DCCKI SEC Documents).
<b>DCCKI Services</b>	has the meaning given to that expression in Section L13.1 (the DCCKI Services).
<b>DCCKI Service Interface</b>	has the meaning given to that expression in Section L13.12 (the DCCKI Service Interface).
<b>DCCKI Subscriber</b>	means, in relation to any DCCKI Certificate, a Party or RDP which has been Issued with and accepted that Certificate, acting in its capacity as the holder of the Certificate.

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<b>Decommissioned</b>	means, in respect of a Device that has previously been Commissioned, that the Device has been decommissioned in accordance with Section H6.1 (Decommissioning).
<b>Default Interest Rate</b>	means, for any day, 8% above the base lending rate of the Bank of England at 13.00 hours on that day.
<b>Defaulting Party</b>	has the meaning given to that expression in Section M8.1 (Events of Default).
<b>Delivery Batch</b>	means all the Communications Hubs that were delivered to a single location during a month (regardless of whether they were delivered pursuant to more than one Communications Hub Order by more than one Party).
<b>Delivery Date</b>	has the meaning given to that expression in Section F5.8 (Communications Hub Orders).
<b>Delivery Location</b>	has the meaning given to that expression in Section F5.8 (Communications Hub Orders).
<b>Delivery Month</b>	has the meaning given to that expression in Section F5.8 (Communications Hub Orders).
<b>Delivery Quantity</b>	has the meaning given to that expression in Section F5.8 (Communications Hub Orders).
<b>Delivery Window</b>	means, for each delivery of Communications Hub Products to a Delivery Location, the time period on the applicable Delivery Date within which the DCC is to deliver the Communications Hub Products, as established in accordance with the CH Handover Support Materials.

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<b>Denial of Service Event</b>	means any unauthorised attempt to make any part of a System wholly or partially unavailable for use for a period of time.
<b>Designated Premises</b>	means Non-Domestic Premises defined as Designated Premises within the meaning given to that expression in the Electricity Supply Licences or the Gas Supply Licences.
<b>Detailed Evaluation</b>	has the meaning given to that expression in Section H7.7 (Detailed Evaluation of Elective Communication Services).
<b>Device</b>	means one of the following individual devices: (a) an Electricity Smart Meter; (b) a Gas Smart Meter; (c) a Communications Hub Function; (d) a Gas Proxy Function; (e) a Pre-Payment Meter Interface Device; (f) a HAN Connected Auxiliary Load Control Switch; and (g) any Type 2 Device.
<b>Device Alert</b>	has the meaning given to that expression in the DCC User Interface Specification.
<b>Device and User System Tests</b>	has the meaning given to that expression in Section H14.31 (Device and User System Tests).
<b>Device Certificate</b>	has the meaning given to that expression in Annex A of the Device Certificate Policy.
<b>Device Certificate Policy</b>	means the SEC Subsidiary Document of that name set out in Appendix A.
<b>Device Certification Authority (or DCA)</b>	has the meaning given to that expression in Annex A of the Device Certificate Policy.
<b>Device Certification Practice Statement (or</b>	has the meaning given to that expression in Section

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<b>Device CPS)</b>	L9.8 (the Device Certification Practice Statement).
<b>Device ID</b>	means the unique number by which an individual Device can be identified, as allocated to that Device in accordance with the applicable Technical Specification.
<b>Device Log</b>	means, in respect of a Device (excluding Type 2 Devices), the electronic record within that Device which records the other Devices from which that Device can receive Data via the HAN.
<b>Device Model</b>	means, in respect of a Communications Hub or a Device (other than a Communications Hub Function or a Gas Proxy Function), the Manufacturer, the model, the hardware version and the firmware version of the Communications Hub or Device.
<b>Device Security Credentials</b>	means, in respect of any 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>Device Selection Methodology</b>	has the meaning given to that expression in Section T1.3 (Device Selection Methodology).
<b>Device Type</b>	means, in respect of a Device, a generic description of the category of Devices into which the Device falls.
<b>Digital Signature</b>	means, in respect of a communication, a digital signature generated using:  (a) the entirety of that communication (excluding the digital signature itself and, to the extent specified in the code, any other parts of the

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communication);

- (b) a Private Key; and
- (c) the signature algorithm defined in the certificate profile in the certificate policy under which the certificate associated with that Private Key was issued or (where such certificate policy does not exist) the signature algorithm relevant to that certificate.

(a)

<b>Digitally Signed</b>	means, in respect of a communication, that such communication has had the necessary Digital Signatures applied to it (and “ <b>Digitally Sign</b> ” and “ <b>Digitally Signing</b> ” are to be interpreted accordingly).
<b>Direct Agreement</b>	means, in respect of each Communications Hub Finance Facility, any agreement entered into by the DCC in relation to that facility under which the DCC owes direct payment obligations.
<b>Disaster</b>	means an event that causes one or more of the 'DCC Disaster Impacts' listed in the BCDR Procedure.
<b>Dispute</b>	means any dispute or difference (of whatever nature) arising under, out of or in connection with this Code and/or any Bilateral Agreement.
<b>DLMS Certificates</b>	has the meaning given to that expression in Section F2.4 (Background to Assurance Certificates).
<b>DLMS User Association</b>	means the association of that name located in Switzerland (see - <a href="http://www.dlms.com">www.dlms.com</a> ).
<b>Domestic Premises</b>	means premises at which a Supply of Energy is or will be taken wholly or mainly for domestic purposes,



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which is to be interpreted in accordance with Condition 6 of the relevant Energy Supply Licence.

<b>Draft Budget</b>	has the meaning given to that expression in Section C8.11 (Preparation of Draft Budgets).
<b>Due Date</b>	has the meaning given to that expression in Section J1.5 (Payment of Charges).
<b>EII DCCKICA Certificate</b>	has the meaning given to that expression in the DCCKI Certificate Policy.
<b>Elected Members</b>	has the meaning given to that expression in Section C3.1 (Panel Composition).
<b>Elective Communication Services</b>	means the provision of communication services that are (or are to be) defined in a Bilateral Agreement (rather than the DCC User Interface Services Schedule) in a manner that involves communication via the SM WAN (provided that such services must relate solely to the Supply of Energy or its use).
<b>Electricity Act</b>	means the Electricity Act 1989.
<b>Electricity Distribution Licence</b>	means a licence granted, or treated as granted, under section 6(1)(c) of the Electricity Act.
<b>Electricity Distributor</b>	means, for a Smart Metering System or a Device, the holder of the Electricity Distribution Licence for the network to which the relevant premises are connected.
<b>Electricity Meter</b>	means any meter that conforms to the requirements of paragraph 2 of schedule 7 to the Electricity Act and is used for the purpose of measuring the quantity of electricity that is supplied to premises.
<b>Electricity Network Party</b>	means a Party that holds an Electricity Distribution

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Licence.

<b>Electricity Smart Meter</b>	<p>means a device installed (or to be installed) at a premises, which:</p> <ul style="list-style-type: none"><li>(a) consists of the components or other apparatus identified in; and</li><li>(b) as a minimum, has the functional capability specified by and complies with the other requirements of,</li></ul> <p>the part(s) of the SMETS identified as applying to 'Electricity Smart Metering Equipment' (and, where applicable, the part(s) relevant to the Physical Device Type in question) in a version of the SMETS which was the Valid Technical Specification on the date on which the device was installed. Devices that meet the requirements of the version of the SMETS that was designated on 18 December 2012 (and amended and restated on 31 March 2014) are not currently included within this definition.</p>
<b>Electricity Supplier Party</b>	<p>means a Party that holds an Electricity Supply Licence (regardless of whether that Party also holds a Gas Supply Licence).</p>
<b>Electricity Supply Licence</b>	<p>means a licence granted, or treated as granted, pursuant to section 6(1)(d) of the Electricity Act.</p>
<b>Eligible Subscriber</b>	<p>has the meaning given to that expression in Section L3.15 (Eligible Subscribers).</p>
<b>Eligible User</b>	<p>means, in respect of a Service set out in the DCC User Interface Services Schedule or an Elective Communication Service and (in either case) a Smart Metering System (or a Device forming, or to form,</p>

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part of a Smart Metering System), one of the Users eligible to receive that Service in respect of that Smart Metering System (or such a Device), as further described in Section H3.8 (Eligibility for Services).

### **Eligible User Role**

means, in respect of a Service set out in the DCC User Interface Services Schedule or an Elective Communication Service, one of the User Roles that is capable of being an Eligible User in respect of that Service (determined without reference to a particular Smart Metering System or Device).

### **Enabling Services**

means one or more of the Enrolment Service, the Communications Hub Service, and the Other Enabling Services.

### **Encrypt**

means, in respect of Section H4 (Processing Service Requests), the process of encoding Data using the methods set out for that purpose in the GB Companion Specification; and “**Encrypted**” shall be interpreted accordingly.

### **End-to-End Security Architecture**

means a document that describes how the security controls in respect of smart metering relate to the architecture of the End-to-End Smart Metering System.

### **End-to-End Smart Metering System**

means the DCC Total System, all Enrolled Smart Metering Systems, all User Systems and all RDP Systems.

### **End-to-End Technical Architecture**

means the DCC Systems and the Smart Metering Systems together, including as documented in the Technical Code Specifications.

### **End-to-End Testing**

means the testing described in Section T4 (End-to-End

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	Testing).
<b>End-to-End Testing Approach Document</b>	has the meaning given to that expression in Section T4.4 (End-to-End Testing Approach Document).
<b>Enduring Testing Approach Document</b>	means the SEC Subsidiary Document set out in Appendix J, which is originally to be developed pursuant to Section T6 (Development of Enduring Testing Documents).
<b>Energy Code</b>	means a multilateral code or agreement maintained pursuant to one or more of the Energy Licences.
<b>Energy Consumer</b>	means a person who receives, or wishes to receive, a Supply of Energy at any premises in Great Britain.
<b>Energy Licence</b>	means a licence that is granted, or treated as granted, under section 6 of the Electricity Act or under section 7, 7A or 7AB of the Gas Act.
<b>Energy Meter</b>	means an Electricity Meter or a Gas Meter.
<b>Energy Supply Licence</b>	means an Electricity Supply Licence or a Gas Supply Licence.
<b>Enrolment</b>	means, in respect of a Smart Metering System, the act of enrolling that Smart Metering System in accordance with the Enrolment Service (and the words “ <b>Enrol</b> ” and “ <b>Enrolled</b> ” will be interpreted accordingly). Enrolment of a Smart Metering System ends on its Withdrawal.
<b>Enrolment Service</b>	means the Service described in Section H5 (Enrolment Services and the Smart Metering Inventory).
<b>EU Regulations</b>	means:  (a) Regulation 2009/714/EC of the European

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Parliament and of the Council of 13 July 2009 on conditions for access to the network for cross-border exchange in electricity and repealing Regulation 2003/1228/EC; and

- (b) Regulation 2009/715/EC of the European Parliament and of the Council of 13 July 2009 on conditions for access to the national gas transmission networks and repealing Regulation 2005/1775/EC, as amended by Commission Decision 2010/685/EU of 10 November 2010 amending Chapter 3 of Annex I to Regulation 2009/715/EC of the European Parliament and of the Council on conditions for access to the natural gas transmission networks.

### **EUI-64 Compliant**

means a 64-bit globally unique identifier governed by the Institute of Electrical and Electronics Engineers.

### **Event of Default**

has the meaning given to that expression in Section M8.1 (Events of Default).

### **Export MPAN**

means an MPAN for a Metering Point relating to the export of electricity from a premises.

### **Export Supplier**

means, for a Smart Metering System or a Device and any period of or point in time, the Supplier Party Registered during that period of or at that point in time in respect of the Export MPAN relating to that Smart Metering System or Device (but excluding Smart Metering Systems or Devices for which there is no related Import MPAN, in which circumstance such Registered Supplier Party is deemed to be the Import Supplier in accordance with the definition thereof).

### **Fast-Track Modifications**

has the meaning given to that expression in Section

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D2.8 (Fast-Track Modifications).

<b>File Signing Certificate</b>	has the meaning given to that expression in the IKI Certificate Policy.
<b>Firmware Hash</b>	means the result of the application of a hash function, such function being a repeatable process to create a fixed size and condensed representation of a message using the SHA-256 algorithm as specified in the US Government's Federal Information Processing Standards document 180-4.
<b>Fixed Charges</b>	has the meaning given to that expression in the Charging Methodology.
<b>Follow-up Security Assessment</b>	has the meaning given to that expression in Section G8.19 (Categories of Security Assurance Assessment).
<b>Force Majeure</b>	means, in respect of any Party (the <b>Affected Party</b> ), any event or circumstance which is beyond the reasonable control of the Affected Party, but only to the extent such event or circumstance (or its consequences) could not have been prevented or avoided had the Affected Party acted in accordance with Good Industry Practice. Neither lack of funds nor strikes or other industrial disturbances affecting only the employees of the Affected Party and/or its contractors shall be interpreted as an event or circumstance beyond the Affected Party's control.
<b>Forum Sub-Group</b>	has the meaning given to that expression in Section Z6.1 (Definitions).
<b>Framework Agreement</b>	means an agreement in the form set out in Schedule 1.
<b>Full Privacy Assessment</b>	has the meaning given to that expression in Section

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I2.12 (Categories of Assessment).

<b>Full User Security Assessment</b>	has the meaning given to that expression in Section G8.16 (Categories of Security Assurance Assessment).
<b>Future-Dated Services</b>	has the meaning given to that expression in Section H3.11 (Categories of Services).
<b>Gas Act</b>	means the Gas Act 1986.
<b>Gas Meter</b>	means a meter that conforms to the requirements of section 17(1) of the Gas Act for the purpose of registering the quantity of gas supplied through pipes to premises.
<b>Gas Network Party</b>	means a Party that holds a Gas Transporter Licence.
<b>Gas Proxy Function</b>	<p>means that part of a device installed (or to be installed) at a premises, which:</p> <ul style="list-style-type: none"><li>(a) consists of the components or other apparatus identified in; and</li><li>(b) as a minimum, has the functional capability specified by and complies with the other requirements of,</li></ul> <p>a version of the CHTS (but only those provisions that are described as applying to 'Gas Proxy Functions') which was a Valid Technical Specification on the date on which the device was installed.</p>
<b>Gas Smart Meter</b>	<p>means a device installed (or to be installed) at a premises, which:</p> <ul style="list-style-type: none"><li>(a) consists of the components or other apparatus identified in; and</li></ul>

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(b) as a minimum, has the functional capability specified by and complies with the other requirements of,

the part(s) of the SMETS identified as applying to 'Gas Smart Metering Equipment' in a version of the SMETS which was a Valid Technical Specification on the date on which the device was installed. Devices that meet the requirements of the version of the SMETS that was designated on 18 December 2012 (and amended and restated on 31 March 2014) are not currently included within this definition.

### **Gas Supplier**

means, for a Smart Metering System or a Device and any period of or point in time, the Supplier Party Registered during that period of or at that point in time in respect of the MPRN relating to that Smart Metering System or Device.

### **Gas Supplier Party**

means a Party that holds a Gas Supply Licence (regardless of whether that Party also holds an Electricity Supply Licence).

### **Gas Supply Licence**

means a licence granted, or treated as granted, pursuant to section 7A(1) of the Gas Act.

### **Gas Transporter**

means, for a Smart Metering System or a Device, the holder of the Gas Transporter Licence for the network to which the relevant premises are connected.

### **Gas Transporter Licence**

means a licence granted, or treated as granted, under section 7 of the Gas Act (but not the licence in respect of the National Transmission System, as defined in the UNC).

### **GB Companion**

means the document of that name set out in Schedule



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<b>Specification (or “GBCS”)</b>	[TBC].
<b>GBCS Payload</b>	means the content of a Pre-Command, Signed Pre-Command, Service Response or Device Alert which is set out in the format required by the GB Companion Specification.
<b>General SEC Objectives</b>	has the meaning given to that expression in Section C1 (SEC Objectives).
<b>Good Industry Practice</b>	means, in respect of a Party, the exercise of that degree of skill, diligence, prudence and foresight which would reasonably and ordinarily be expected from a skilled and experienced person engaged in a similar type of undertaking as that Party under the same or similar circumstances.
<b>Greenhouse Gas Emissions</b>	means emissions of Greenhouse Gases, as defined in section 92 of the Climate Change Act 2008.
<b>Hash</b>	means the result of the application of a hash function, such function being a repeatable process to create a fixed size and condensed representation of a message using the SHA-256 algorithm as specified in the US Government’s Federal Information Processing Standards document 180-4.
<b>HAN</b>	means, for each Smart Metering System, the home area network created by the Communications Hub Function forming part of that Smart Metering System.
<b>HAN Connected Auxiliary Load Control Switch</b>	means a device installed (or to be installed) at a premises, which:  (a) consists of the components or other apparatus identified in; and  (b) as a minimum, has the functional capability

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	specified by and complies with the other requirements of,  a version of the HCALCS Technical Specification which was a Valid Technical Specification on the date on which the device was installed.
<b>HAN Variants</b>	means the variations of Communications Hub that are necessary to enable communication via each HAN Interface (as defined in the CHTS).
<b>HCALCS</b>	means a HAN Connected Auxiliary Load Control Switch.
<b>HCALCS Technical Specification</b>	means the part(s) of the SMETS identified as applying to 'HAN Connected Auxiliary Load Control Switches'.
<b>ICA Certificate</b>	has the meaning given to that expression in the IKI Certificate Policy.
<b>ICHIS</b>	means the Intimate Communications Hub Interface Specifications.
<b>ID Allocation Procedure</b>	means the document of that name developed and maintained in accordance with Section B2.2 (ID Allocation Procedure).
<b>IETF RFC 5280</b>	has the meaning given to that expression in the GB Companion Specification.
<b>IHD</b>	means a device provided (or to be provided) at a premises, which:  (a) consists of the components or other apparatus identified in; and  (b) as a minimum, has the functional capability specified by and complies with the other

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requirements of,

a version of the IHD Technical Specification which was a Valid Technical Specification on the date on which the device was provided, and which a User acting in the role of Import Supplier or Gas Supplier has joined, or is seeking to join, to an Electricity Smart Meter or Gas Proxy Function (as applicable).

<b>IHD Technical Specification</b>	means the part(s) of the SMETS identified as applying to 'IHDs'.
<b>IKI Authority Revocation List (or IKI ARL)</b>	has the meaning given to that expression in the IKI Certificate Policy.
<b>IKI Certificate</b>	has the meaning given to that expression in the IKI Certificate Policy.
<b>IKI Certificate Policy</b>	means the SEC Subsidiary Document of that name set out in Appendix [TBD].
<b>IKI Certificate Revocation List (or IKI CRL)</b>	has the meaning given to that expression in the IKI Certificate Policy.
<b>IKI Certification Practice Statement (or IKI CPS)</b>	has the meaning given to that expression in Section L9.20 (the IKI Certification Practice Statement).
<b>Import MPAN</b>	means an MPAN for a Metering Point relating to the import of electricity to a premises.
<b>Import Supplier</b>	means, for a Smart Metering System or a Device and any period of or point in time:  (a) the Supplier Party Registered during that period of or at that point in time in respect of the Import MPAN relating to that Smart Metering

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	System or Device; or
	(b) where there is no related Import MPAN for that Smart Metering System or Device, the Supplier Party Registered during that period of or at that point in time in respect of the Export MPAN relating to that Smart Metering System or Device.
<b>Incident</b>	means an actual or potential interruption to (or reduction in the quality or security of) the Services, as further described in the Incident Management Policy.
<b>Incident Category</b>	has the meaning given to that expression in Section H9.1 (Incident Management Policy).
<b>Incident Management</b>	means a framework of processes designed to identify, raise, allocate responsibility for, track and close Incidents.
<b>Incident Management Log</b>	has the meaning given to that expression in Section H9.3 (Incident Management Log).
<b>Incident Management Policy</b>	means the SEC Subsidiary Document of that name set out in Appendix [TBC].
<b>Incident Parties</b>	has the meaning given to that expression in Section H9.1 (Incident Management Policy).
<b>Independent Assurance Scheme</b>	has the meaning given to that expression in Part 2.1 of the SMKI Compliance Policy (DCC: Duty to Submit to an Independent Assurance Scheme).
<b>Independent Privacy Auditor</b>	has the meaning given to that expression in Section I2.1 (Procurement of the Independent Privacy Auditor).
<b>Independent SMKI</b>	has the meaning given to that expression in Part 3.1 of

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<b>Assurance Service Provider</b>	the SMKI Compliance Policy (DCC: Duty to Procure Independent Assurance Services).
<b>Independent Time Source</b>	has the meaning given to that expression in Section G2.38(b) (Network Time).
<b>Information Classification Scheme</b>	means a methodology for: <ul style="list-style-type: none"><li>(a) the appropriate classification of all Data that are processed or stored on a System by reference to the potential impact of those Data being Compromised; and</li><li>(b) determining the controls to be applied to the processing, storage, transfer and deletion of each such class of those Data.</li></ul>
<b>Information Commissioner</b>	means the Commissioner, as defined in the Data Protection Act.
<b>Infrastructure Key Infrastructure (or IKI)</b>	means the public key infrastructure established by the DCC for the purpose, among other things, of authenticating communications between: <ul style="list-style-type: none"><li>(a) Parties and the OCA and DCA; and</li><li>(b) Parties and the DCC, where those Parties are required in accordance with this Code to provide files to the DCC that have been Digitally Signed using the Private Key associated with the Public Key that is contained within a File Signing Certificate.</li></ul>
<b>Insolvency Type Event</b>	means, in respect of a Party, that that Party: <ul style="list-style-type: none"><li>(a) is unable to pay its debts as they fall due, or is deemed to be unable to pay its debts within the meaning of section 123 of the Insolvency Act</li></ul>

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1986 (but as if the reference in such section to “£750” was replaced with “£10,000”);

- (b) calls a meeting for the purpose of passing a resolution for its winding-up, or such a resolution is passed;
- (c) presents, or has presented in respect of it, a petition for a winding-up order;
- (d) has an application to appoint an administrator made in respect of it, or a notice of intention to appoint an administrator is filed in respect of it;
- (e) has an administrator, administrative receiver, or receiver appointed over all or a substantial part of its business, undertaking, property or assets;
- (f) takes any steps in connection with proposing a company voluntary arrangement or a company voluntary arrangement is passed in relation to it; or
- (g) suffers or undergoes any procedure analogous to any of those specified above, including in respect of a Party who is a natural person or in any jurisdiction outside the UK in which a Party is incorporated.

**Intellectual Property Rights** means patents, trade marks, trade names, service marks, rights in designs, copyright (including rights in computer software), logos, rights in internet domain names, and moral rights, database rights, rights in know-how, and other intellectual property rights (in each case, whether registered or unregistered or subject to an application for registration), and includes any and all rights or forms of protection having equivalent or similar effect anywhere in the world.

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<b>Interface Testing</b>	means the testing described in Section T3 (Interface Testing).
<b>Interface Testing Approach Document</b>	has the meaning given to that expression in Section T3.8 (Interface Testing Approach Document).
<b>Interface Testing Objective</b>	has the meaning given to that expression in Section T3.2 (Interface Testing Objective).
<b>Interim Election</b>	has the meaning given to that expression in Section C4.2 (Election of Elected Members).
<b>Intimate Communications Hub Interface Specifications</b>	means the specifications described as such and originally developed by the DCC pursuant to schedule 3 of the DCC Licence, as amended from time to time in accordance with Section H12.9 (Amendments to the ICHIS).
<b>Inventory Enrolment and Withdrawal Procedures</b>	means the SEC Subsidiary Document of that name set out as Appendix [TBC].
<b>Invoice</b>	has the meaning given to that expression in Section J1.2 (Invoicing of Charges).
<b>Issue</b>	in relation to: <ul style="list-style-type: none"><li>(a) a Device Certificate or DCA Certificate, has the meaning given to that expression in Annex A of the Device Certificate Policy;</li><li>(b) an Organisation Certificate or OCA Certificate, has the meaning given to that expression in Annex A of the Organisation Certificate Policy;</li><li>(c) an IKI Certificate or ICA Certificate has the meaning given to that expression in the IKI Certificate Policy;</li><li>(d) a DCKKI Certificate (including any DCKKICA</li></ul>

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Certificate) has the meaning given to that expression in the DCKI Certificate Policy.

<b>Issuing DCA</b>	has the meaning given to that expression in Annex A of the Device Certificate Policy.
<b>Issuing DCA Certificate</b>	has the meaning given to that expression in Annex A of the Device Certificate Policy.
<b>Issuing ICA</b>	has the meaning given to that expression in the IKI Certificate Policy.
<b>Issuing ICA Certificate</b>	has the meaning given to that expression in the IKI Certificate Policy.
<b>Issuing OCA</b>	has the meaning given to that expression in Annex A of the Organisation Certificate Policy.
<b>Issuing OCA Certificate</b>	has the meaning given to that expression in Annex A of the Organisation Certificate Policy.
<b>Key Pair</b>	means a Private Key and its mathematically related Public Key, where the Public Key may be used to Check Cryptographic Protection in relation to a communication that has been Digitally Signed using the Private Key.
<b>Known Remote Party</b>	has the meaning given to that expression in the GB Companion Specification.
<b>Large Supplier Party</b>	means a Supplier Party that is not a Small Supplier Party.
<b>Laws and Directives</b>	means any law (including the common law), statute, statutory instrument, regulation, instruction, direction, rule, condition or requirement (in each case) of any Competent Authority (or of any authorisation, licence,



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consent, permit or approval of any Competent Authority).

### **Lead Supplier**

means, in respect of a Communications Hub:

- (a) where there is only one Responsible Supplier for the Communications Hub Function which forms part of that Communications Hub, that Responsible Supplier; or
- (b) where there is more than one Responsible Supplier for the Communications Hub Function which forms part of that Communications Hub, the Import Supplier for the Communications Hub Function.

### **Letter of Credit**

means an unconditional irrevocable standby letter of credit in substantially the form set out in Schedule 6 from a bank with the Required Bank Rating which letter of credit has not been breached or disclaimed by the provider.

### **Liability**

includes any loss, liability, damages, costs (including legal costs), expenses and claims.

### **Local Command Services**

means the sending of Commands to a User via the DCC User Interface where the User has opted in the Service Request for the Command to be sent in that way.

### **Maintenance**

includes repair, replacement, upgrade or modification.

### **Major Incident**

means an Incident that is categorised as a major incident in accordance with the Service Management Standards, as further described in the Incident Management Policy.

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<b>Major Security Incident</b>	means, in relation to any System, any event which results, or was capable of resulting, in that System being Compromised to a material extent.
<b>Malicious Software</b>	means any software program or code intended to destroy, interfere with, corrupt, or cause undesired effects on Data, software, files, programs or codes (whether or not its operation is immediate or delayed, and whether it is introduced wilfully, negligently or without knowledge of its existence).
<b>Manufacturer</b>	means, in respect of any Device Model, the person:  (a) that manufactures some or all of the Devices of that Device Model; or  (b) on whose behalf some or all of those Devices are manufactured for onward sale or other provision.
<b>Manufacturer Image</b>	has the meaning given to that expression in the GB Companion Specification.
<b>Manufacturer Release Notes</b>	means, in respect of any hardware version or firmware version in a Device Model, the Manufacturer's notes regarding the description of the features provided by that hardware version or firmware version (and, where relevant, how and why this differs from other Device Models where this difference arises only by virtue of having newer versions of hardware and/or firmware). Such description of differences shall include the reasons for the newer version(s), a description of any enhancements to the features provided by the newer version(s), a description of any fixes to existing features, and a statement on backwards and forwards compatibility of any new firmware

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version.

<b>MA-S Registry Entry</b>	means a publicly registered 36-bit identifier of that name issued by the Institute of Electrical and Electronics Engineers Standards Association.
<b>Material Risk</b>	means, in respect of any Maintenance of the DCC Systems, that such Maintenance poses either: (a) a material risk of disruption to the Services; or (b) a risk of material disruption to the Services.
<b>Message Authentication Code</b>	has the meaning given to that expression in the GB Companion Specification (or, where used in the context of a communication not specified by the GB Companion Specification, the meaning associated with the relevant cryptographic algorithm used to generate it).
<b>Message Mapping Catalogue</b>	means the SEC Subsidiary Document of that name set out in Appendix [TBC].
<b>Meter Asset Manager</b>	has the meaning given to that expression in the SPAA.
<b>Meter Operator</b>	has the meaning given to that expression in the MRA.
<b>Metering Point</b>	has the meaning given to that expression in the MRA.
<b>Minimum Monthly Charge</b>	means, in respect of each Regulatory Year, £25.00, multiplied by the Consumer Prices Index for the October preceding the start of that Regulatory Year, divided by the Consumer Prices Index for October 2014. The relevant amount will be rounded to the nearest pound.
<b>Minimum Service Level</b>	means, in respect of each Performance Measure, the number or percentage intended to represent the minimum level of performance for the activity which

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is the subject of the Performance Measure, as set out in:

- (a) Section H13.1 (Code Performance Measures);
- (b) the Reported List of Service Provider Performance Measures; or
- (c) Section L8.6 (Code Performance Measures).

**Modification Proposal** has the meaning given to that expression in Section D1.2 (Modifications).

**Modification Register** has the meaning given to that expression in Section D1.8 (Modification Register).

**Modification Report** has the meaning given to that expression in Section D7.1 (Modification Report).

**Modification Report Consultation** has the meaning given to that expression in Section D7.8 (Modification Report Consultation).

**Monthly Service Metric** has the meaning set out in the DCC User Interface Services Schedule.

**Monthly Service Threshold** has the meaning set out in the DCC User Interface Services Schedule.

**MPAN** means, in respect of a Smart Metering System (or Electricity Meter), the Supply Number (or each of the Supply Numbers) allocated under the MRA to the Metering Point(s) at which the import or export of electricity is recorded by that Smart Metering System (or Electricity Meter).

**MPRN** means, in respect of a Smart Metering System (or Gas Meter), the Supply Meter Point Reference Number allocated by the relevant Gas Network Party to the Supply Meter Point at which the supply of gas is

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recorded by that Smart Metering System (or Gas Meter).

<b>MRA</b>	means the Master Registration Agreement established pursuant to the Electricity Distribution Licences.
<b>Network Party</b>	means a Party that is either an Electricity Network Party or a Gas Network Party.
<b>Network Time</b>	has the meaning given to that expression in Section G2.38(a) (Network Time).
<b>New Party</b>	means a Party that is a Party pursuant to an Accession Agreement.
<b>Non-Critical Service Request</b>	means a Service Request which is not identified as critical in the DCC User Interface Services Schedule (or, in the case of Elective Communication Services, the relevant Bilateral Agreement).
<b>Non-Critical Service Response</b>	means a Service Response in respect of a Non-Critical Service Request.
<b>Non-Default Interest Rate</b>	means, for any day, the base lending rate of the Bank of England at 13.00 hours on that day.
<b>Non-Device Service Request</b>	means a Service Request in respect of a Service identified as a non-device service in the DCC User Interface Services Schedule (or, in the case of Elective Communication Services, the relevant Bilateral Agreement).
<b>Non-Domestic Premises</b>	means premises other than Domestic Premises.
<b>Notification</b>	means, in respect of a Modification Proposal, notification of that modification to the EU Commission pursuant to EU Directive 98/34/EC.

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<b>NSA Suite B Cryptographic Algorithm</b>	means a cryptographic algorithm that meets the standards required by the US National Security Agency's suite B cryptography standards ( <a href="http://www.nsa.gov/ia/programs/suiteb_cryptography/">www.nsa.gov/ia/programs/suiteb_cryptography/</a> ).
<b>OCA Certificate</b>	has the meaning given to that expression in Annex A of the Organisation Certificate Policy.
<b>On-Demand Services</b>	has the meaning given to that expression in Section H3.11 (Categories of Services).
<b>Organisation Authority Revocation List (or Organisation ARL)</b>	has the meaning given to that expression in Annex A of the Organisation Certificate Policy.
<b>Organisation Certificate</b>	has the meaning given to that expression in Annex A of the Organisation Certificate Policy.
<b>Organisation Certificate Policy</b>	means the SEC Subsidiary Document of that name set out in Appendix B.
<b>Organisation Certificate Revocation List (or Organisation CRL)</b>	has the meaning given to that expression in Annex A of the Organisation Certificate Policy.
<b>Organisation Certification Authority (or OCA)</b>	has the meaning given to that expression in Annex A of the Organisation Certificate Policy.
<b>Organisation Certification Practice Statement (or Organisation CPS)</b>	has the meaning given to that expression in Section L9.14 (the Organisation Certification Practice Statement).
<b>Original Party</b>	means a Party that is a Party pursuant to the Framework Agreement.
<b>OTA Header</b>	has the meaning given to that expression in the GB Companion Specification.

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<b>Other Enabling Services</b>	means the Services other than the Enrolment Services, the Communications Hub Services and the Communication Services.
<b>Other SEC Party</b>	means a Party that is not the DCC, is not a Network Party, and is not a Supplier Party.
<b>Other User</b>	means, for a Smart Metering System or a Device and any period of or point in time, a User that is not acting in the User Role of Import Supplier, Export Supplier, Gas Supplier, Electricity Distributor, Gas Transporter or Registered Supplier Agent (regardless of whether in fact that User is a Responsible Supplier or the Electricity Distributor or the Gas Transporter or the Registered Supplier Agent during that period of or at that point in time).
<b>Panel</b>	means the body established as such in accordance with Section C2.1 (Establishment of the Panel).
<b>Panel Chair</b>	has the meaning given to that expression in Section C3.1 (Composition of the Panel).
<b>Panel Member</b>	has the meaning given to that expression in Section C3.1 (Composition of the Panel).
<b>Panel Objectives</b>	has the meaning given to that expression in Section C2.2 (Panel Objectives).
<b>Panel Release Management Policy</b>	has the meaning given to that expression in Section D10.7 (Release Management).
<b>Parent Company Guarantee</b>	means a guarantee in such form as the DCC may reasonably approve from an Affiliate of the User in question which guarantee has not been breached or disclaimed by the guarantor and has at least one month

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left until it expires. Where the guarantor is incorporated outside of the United Kingdom, the guarantee will only be validly given where supported by a legal opinion regarding capacity and enforceability in a form reasonably satisfactory to the DCC.

### **Parse and Correlate Software**

has the meaning given to that expression in Section H11.1 (Provision of Parse and Correlate Software).

### **Party**

means, from time to time, a person that has agreed to be bound by this Code (either pursuant to the Framework Agreement or an Accession Agreement), and (without prejudice to Section M8.14 (Consequences of Ceasing to be a Party)) that has not at that time ceased to be so bound in accordance with Section M8 (but excluding SECCo).

### **Party Category**

means, as the context requires, one of the following categories:

- (a) the Large Supplier Parties collectively;
- (b) the Small Supplier Parties collectively;
- (c) the Electricity Network Parties collectively;
- (d) the Gas Network Parties collectively; and
- (e) the Other SEC Parties collectively.

### **Party Data**

has the meaning given to that expression in Section M5.10 (Party Data).

### **Party Details**

means, in respect of each Party, the information relating to that Party and corresponding to the heads of information set out in the Application Form from time to time.



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<b>Party Signifier</b>	means an identification number allocated to a Party by the Code Administrator pursuant to Section B1.17 (Party Signifiers), which uniquely identifies that Party under the Code.
<b>Path 1 Modification</b>	has the meaning given to that expression in Section D2.4 (Path 1 Modification: Authority-led).
<b>Path 2 Modification</b>	has the meaning given to that expression in Section D2.6 (Path 2 Modification: Authority Determination).
<b>Path 3 Modification</b>	has the meaning given to that expression in Section D2.7 (Path 3 Modification: Self-Governance).
<b>Performance Measurement Methodology</b>	means a documented methodology for establishing the performance against each Performance Measure, which may include sampling and/or test communications.
<b>Performance Measurement Period</b>	means, in respect of each Performance Measure, the applicable period over which the Service Level for that Performance Measure is to be measured, as set out in:  (a) Section H13.1 (Code Performance Measures);  (b) the Reported List of Service Provider Performance Measures; or  (c) Section L8.6 (Code Performance Measures).
<b>Performance Measures</b>	means the Code Performance Measures and such Service Provider Performance Measures as are specified in the Reported List of Service Provider Performance Measures.
<b>Permitted Communication Service</b>	means, in respect of a User and a Smart Metering System (or a Device forming, or to form, part of that Smart Metering System):

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- (a) a service that results in the sending of a Command to a Device (other than the Communications Hub Function) for which the User is the Responsible Supplier (except where, were the Command to be sent as a Core Communication Service, it would be a Critical Command requiring another User's Digital Signature);
- (b) a service that only results in the sending of a Command to a Device which is the same as a Command which results from a Service listed in the DCC User Interface Services Schedule for which that User is an Eligible User; or
- (c) a service which the Panel has (on the application of the User) approved as a permitted communication service.

### **Personal Data**

means personal data, as defined in the Data Protection Act.

### **Physical Device Type**

means, in respect of a device, its type which may be only one of: a Communications Hub; a Single Element Electricity Metering Equipment (as defined in SMETS); a Twin Element Electricity Metering Equipment (as defined in SMETS); a Polyphase Electricity Metering Equipment (as defined in SMETS), a Gas Smart Meter; a Pre-Payment Meter Interface Device; a HAN Connected Auxiliary Load Control Switch; an IHD; or a Type 2 Device (Other).

### **Planned Maintenance**

means, in respect of a month, Maintenance of the DCC Systems planned prior to the start of that month and which will disrupt, or poses a Material Risk of disruption to, provision of the Services (and, where it

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will disrupt, or poses a Material Risk of disruption to, the provision of the Services in relation to Devices associated with Communications Hubs, at least 100,000 Communications Hubs are affected).

### **Point-to-Point Alt HAN Equipment**

has the meaning given to that expression in accordance with standard condition 55 of the Electricity Supply Licence (Smart Metering – The Alt HAN Arrangements) and standard condition 49 of the Gas Supply Licence (Smart Metering – The Alt HAN Arrangements).

### **Post Commissioning Information**

has the meaning given to that expression in the Inventory Enrolment and Withdrawal Procedures.

### **PPMID**

means a Prepayment Meter Interface Device.

### **PPMID Technical Specification**

means the part(s) of the SMETS identified as applying to 'Pre-Payment Meter Interface Devices'.

### **Pre-Command**

means a communication (other than a Service Response or Device Alert) to be sent from the DCC to a User or to the CoS Party that includes a GBCS Payload and which has been Digitally Signed by the DCC in accordance with the DCC User Interface Specification.

### **Preliminary Assessment**

has the meaning given to that expression in Section H7.4 (Preliminary Assessment of Elective Communication Services).

### **Pre-Payment Meter Interface Device**

means a device installed (or to be installed) at a premises, which:

- (a) consists of the components or other apparatus identified in; and
- (b) as a minimum, has the functional capability

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specified by and complies with the other requirements of,

a version of the PPMID Technical Specification which was a Valid Technical Specification on the date on which the device was installed.

<b>Principal User Security Obligations</b>	has the meaning given to that expression in Section G1.7 (Obligations on Users).
<b>Privacy Assessment</b>	means a Full Privacy Assessment, Random Sample Privacy Assessment or User Privacy Self-Assessment.
<b>Privacy Assessment Report</b>	has the meaning given to that expression in Section I2.19 (The Privacy Assessment Report).
<b>Privacy Assessment Response</b>	has the meaning given to that expression in Section I2.21 (The Privacy Assessment Response).
<b>Privacy Controls Framework</b>	means the document of that name developed and maintained by the Panel in accordance with Section I2.15 (The Privacy Controls Framework).
<b>Privacy Self-Assessment</b>	has the meaning given to that expression in Section I2.14 (Categories of Assessment).
<b>Privacy Self-Assessment Report</b>	has the meaning given to that expression in Section I2.26 (The User Privacy Self-Assessment Report).
<b>Private Key</b>	means the private part of an asymmetric Key Pair used for the purposes of public key encryption techniques
<b>Privileged Person</b>	means a member of DCC Personnel who is authorised to carry out activities which involve access to resources, or Data held, on the DCC Total System and which are capable of being a means by which the DCC

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	Total System, any User Systems, any RDP Systems or any Device are Compromised to a material extent.
<b>Problem</b>	means the underlying cause of one or more Incidents, as further described in the Incident Management Policy.
<b>Process</b>	means, in respect of any Personal Data, to ‘process’ that Personal Data, as defined in the Data Protection Act (and “ <b>Processing</b> ” shall be interpreted accordingly).
<b>Product Recall or Technology Refresh</b>	has the meaning given to that expression in Section F9.6 (Categories of Responsibility).
<b>Projected Operational Service Levels</b>	[TBC] [ <i>For a discussion of this term, please refer to the SEC3 Consultation Document.</i> ]
<b>Proposer</b>	has the meaning given to that expression in Section D1.3 (Persons Entitled to Propose Modification Proposals).
<b>Prototype Communications Hub</b>	means a device that as closely achieves compliance with the CHTS as is reasonably practicable from time to time, which is provided (or to be provided) for the purpose of testing as described in Section F10 (Test Communications Hubs).
<b>Public Key</b>	means the public part of an asymmetric Key Pair used for the purposes of public key encryption techniques.
<b>Random Sample Privacy Assessment</b>	has the meaning given to that expression in Section I2.13 (Categories of Assessment).
<b>RDP</b>	means Registration Data Provider.
<b>RDP ID</b>	means, in respect of an RDP acting in its capacity as

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such (including a Network Party where it is deemed to have nominated itself for that role), one of the unique identification numbers accepted by the DCC in respect of that RDP under Section E2.16 (Security Obligations and RDP IDs).

### **RDP Signifier**

means an identification number allocated to an RDP by the Code Administrator pursuant to Section B1.19 (RDP Signifiers), which uniquely identifies that RDP under the Code.

### **RDP Systems**

means any Systems:

- (a) which are operated by or on behalf of an Electricity Distributor or Gas Transporter responsible for providing (or procuring the provision of) Registration Data in respect of a particular MPAN or MPRN; and
- (b) which are used in whole or in part for:
  - (i) the collection, storage, Back-Up, processing or communication of that Registration Data prior to, or for the purposes of, its provision to the DCC over the Registration Data Interface;
  - (ii) generating Data for communication to the OCA, DCA, ICA or DCCKICA, or receiving Data from the OCA, DCA, ICA or DCCKICA (including any Systems which store or use Secret Key Material for such purposes); and/or
  - (iii) generating Data for the purposes of lodging in the SMKI Repository or DCCKI Repository, or retrieving Data from the SMKI Repository or DCCKI

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	Repository, and any other Systems from which the Systems described in paragraphs (a) and (b) are not Separated.
<b>Recoverable Costs</b>	has the meaning given to that expression in Section C8.2 (SEC Costs and Expenses).
<b>Recovery Certificate</b>	has the meaning given to that expression in Section L10.30(d)(ii) (Definitions).
<b>Recovery Costs</b>	has the meaning given to that expression in Section L10.17 (Recovery Costs).
<b>Recovery Event</b>	has the meaning given to that expression in Section L10.14 (Recovery Events).
<b>Recovery Key Pair</b>	has the meaning given to that expression in Section L10.30(d) (Definitions).
<b>Recovery Private Key</b>	has the meaning given to that expression in Section L10.30(d)(i) (Definitions).
<b>Refinement Process</b>	has the meaning given to that expression in Section D6 (Refinement Process).
<b>Region</b>	means each of the regions of Great Britain that are subject to different DCC Service Provider Contracts, and the region into which a premises (or future potential premises) falls shall be:  (a) identified insofar as reasonably practicable in a document published by the DCC (or the Panel on behalf of the DCC) from time to time; or  (b) where a premises (or future potential premises) is not so identified, confirmed by the DCC on application of any Party or in response to the

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resolution of an Incident regarding the fact that a premises (or future potential premises) is not so identified,

and once a premises has been identified by the DCC as being in a particular region, the DCC shall not identify that premises as being in a different region (unless agreed by the Supplier Party or Supplier Parties Registered for the MPAN and/or MPRN at the premises and the Network Party or Network Parties for the network(s) to which the premises is, or is intended to be, connected).

### **Registered**

means Registered, as defined in the MRA or the SPAA, as applicable (and “**Registration**” shall be interpreted accordingly).

### **Registered Supplier Agent**

means, for a Smart Metering System or a Device and any period of or point in time, the User that is:

- (a) in the case of electricity, appointed as the Meter Operator in respect of the MPAN relating to that Smart Metering System or Device; or
- (b) in the case of gas, appointed as the Meter Asset Manager in respect of the MPRN relating to that Smart Metering System or Device,

(in either case) during that period of or at that point in time.

### **Registration Authority**

means the DCC, acting in its capacity as such for the purposes of (and in accordance with the meaning given to that expression in any) of the Certificate Policies.

### **Registration Data**

has the meaning given to that expression in Section E1



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(Reliance on Registration Data).

<b>Registration Data Interface</b>	means the communications interface designed to allow the communications referred to in Section E (Registration Data) to be sent between the DCC and the Registration Data Providers.
<b>Registration Data Interface Code of Connection</b>	means the SEC Subsidiary Document of that name to be incorporated into this Code pursuant to Section X5 (Incorporation of Certain Documents into this Code).
<b>Registration Data Interface Documents</b>	means the Registration Data Interface Code of Connection and Registration Data Interface Specification.
<b>Registration Data Interface Specification</b>	means the SEC Subsidiary Document of that name to be incorporated into this Code pursuant to Section X5 (Incorporation of Certain Documents into this Code).
<b>Registration Data Provider</b>	means, in respect of each Network Party, the person nominated as such in writing to the DCC from time to time by that Network Party, on the basis that more than one Party may specify the same Registration Data Provider, and that the Network Party shall be deemed to have so nominated itself in the absence of any other nomination.
<b>Regulatory Year</b>	means a period of twelve months beginning at the start of 1 April in any calendar year and ending at the end of 31 March in the next following calendar year.
<b>Related Person</b>	means, in relation to an individual, that individual's spouse, civil partner, parent, grandparent, sibling, child, grandchild or other immediate family member; any partner with whom that individual is in partnership; that individual's employer; any Affiliate

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of such employer; any person by whom that individual was employed in the previous 12 months; and any company (or Affiliate of a company) in respect of which that individual (individually or collectively with any member of his immediate family) controls more than 20% of the voting rights.

<b>Release Management</b>	means the process adopted for planning, scheduling and controlling the build, test and deployment of releases of IT updates, procedures and processes.
<b>Relevant Device</b>	has the meaning given to that expression in Section L10.30(a) (Definitions).
<b>Relevant Instruments</b>	means: <ul style="list-style-type: none"><li>(a) the Electricity Act and the Gas Act;</li><li>(b) the Data Protection Act;</li><li>(c) the Energy Licences; and</li><li>(d) the Energy Codes.</li></ul>
<b>Relevant Private Key</b>	has the meaning given to that expression in Section L10.30(c) (Definitions).
<b>Relevant Subscriber</b>	has the meaning given to that expression in Section L10.30(b).
<b>Relying Party</b>	means a person who, pursuant to the Code, receives and relies upon a Certificate.
<b>Relying Party Obligations</b>	means the provisions in respect of Relying Parties set out at Section L12 of the Code (the Relying Party Obligations).
<b>Remote Party Role</b>	has the meaning given to that expression, and comprises the values allowed for the ASN.1 type

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	RemotePartyRole identified, in the GB Companion Specification.
<b>Report Phase</b>	has the meaning given to that expression in Section D7.1 (Modification Report).
<b>Reported List of Service Provider Performance Measures</b>	<p>means the document which:</p> <ul style="list-style-type: none"><li>(a) is initially provided to Parties, the Panel and the Authority by the Secretary of State, bears the title 'Reported List of Service Provider Performance Measures' and identifies itself as being produced for the purposes of Section H13 (Performance Standards and Reporting); and</li><li>(b) specifies a number of Service Provider Performance Measures together (in each case) with the applicable Service Level Requirement, Target Service Level, Minimum Service Level and Performance Measurement Period,</li></ul> <p>as it may be modified from time to time in accordance with Section H13.2 (Service Provider Performance Measures).</p>
<b>Required Bank Rating</b>	<p>means that a person has one or more long-term Recognised Credit Ratings of at least (based, where the person has more than one such rating, on the lower of the ratings):</p> <ul style="list-style-type: none"><li>(a) "A-" by Standard &amp; Poor's Financial Services LLC;</li><li>(b) "A3" by Moody's Investors Services Inc; and/or</li><li>(c) "A-" by Fitch Ratings Limited; and/or</li><li>(d) "A(low)" by DBRS Ratings Limited.</li></ul>
<b>Response</b>	has the meaning given to that expression in the GB

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Companion Specification.

<b>Responsible Supplier</b>	means, in respect of a Smart Metering System (or any Device forming, or intended to form, part of a Smart Metering System) which relates to:  (a) an MPAN, the Import Supplier for that Smart Metering System; and/or  (b) an MPRN, the Gas Supplier for that Smart Metering System.
<b>Restricted Communication Service</b>	means, in respect of any User requesting an Elective Communication Service, a service which is not a Permitted Communication Service.
<b>Risk Treatment Plan</b>	has the meaning given to that expression in Section G7.16(e) (Duties and Powers of the Security Sub-Committee).
<b>Root DCA</b>	has the meaning given to that expression in Annex A of the Device Certificate Policy.
<b>Root DCA Certificate</b>	has the meaning given to that expression in Annex A of the Device Certificate Policy.
<b>Root DCCKICA Certificate</b>	has the meaning given to that expression in the DCCKI Certificate Policy
<b>Root ICA</b>	has the meaning given to that expression in the IKI Certificate Policy.
<b>Root ICA Certificate</b>	has the meaning given to that expression in the IKI Certificate Policy.
<b>Root OCA</b>	has the meaning given to that expression in Annex A of the Organisation Certificate Policy.
<b>Root OCA Certificate</b>	has the meaning given to that expression in Annex A

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	of the Organisation Certificate Policy.
<b>Scheduled Election</b>	has the meaning given to that expression in Section C4.2 (Election of the Elected Members).
<b>Scheduled Services</b>	has the meaning given to that expression in Section H3.11 (Categories of Services).
<b>SEC Arrangements</b>	has the meaning given to that expression in the DCC Licence.
<b>SEC Materials</b>	has the meaning given to that expression in Section M5.1 (SEC Materials).
<b>SEC Objectives</b>	means, in respect of the Charging Methodology only, the Charging Objectives and, in all other cases, the General SEC Objectives.
<b>SEC Subsidiary Documents</b>	means each of the documents set out as such in the appendices to this Code.
<b>SECCo</b>	has the meaning given to that expression in Schedule 4.
<b>Secret Key Material</b>	<p>means any Private Key, Shared Secret, Symmetric Key or other functionally equivalent cryptographic material (and any associated input parameter) that is generated and maintained by a Party or RDP for the purposes of complying with its obligations under, or in relation to, this Code, but excluding:</p> <ul style="list-style-type: none"><li>(a) any such material (and associated input parameters) to the extent that it is maintained on Devices;</li><li>(b) any Digital Signature; and</li><li>(c) any output of a Cryptographic Hash Function</li></ul>

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operating on an input communication.

<b>Secretariat</b>	has the meaning given to that expression in Section C7.6 (Secretariat).
<b>Secretary of State</b>	has the meaning given to that expression in the Interpretation Act 1978.
<b>Security Check</b>	means the vetting of personnel, carried out to a level that is identified by that name, under and in accordance with the HMG National Security Vetting Procedures.
<b>Security Controls Framework</b>	has the meaning given to that expression in Section G7.16(a) (Duties and Powers of the Security Subcommittee).
<b>Security Obligations and Assurance Arrangements</b>	means: <ul style="list-style-type: none"><li>(a) in the case of the DCC Total System, those requirements set out in Sections G2, G4 to G7 and G9;</li><li>(b) in the case of User Systems, those requirements set out in Sections G3 to G8;</li><li>(c) in the case of Smart Metering Systems, those requirements set out in the Security Characteristics (as defined in the relevant Technical Specification); and</li><li>(d) in the case of RDP Systems, those requirements set out in Section E2.14 (Security Obligations).</li></ul>
<b>Security Requirements</b>	means a document that: <ul style="list-style-type: none"><li>(a) identifies the security controls that are considered appropriate to mitigate the security</li></ul>

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	risks relating to the End-to-End Smart Metering System; and
	(b) indicates those provisions having effect (or being proposed to have effect) in or under the Security Obligations and Assurance Arrangements or any Energy Licences which require that such security controls are established and maintained.
<b>Security Risk Assessment</b>	means a document that identifies, analyses and evaluates the security risks which relate to the End-to-End Smart Metering System.
<b>Security Sub-Committee</b>	means the Sub-Committee established pursuant to Section G7 (Security Sub-Committee).
<b>Security Sub-Committee (Network) Members</b>	has the meaning given to that expression in Section G7.8 (Membership of the Security Sub-Committee).
<b>Security Sub-Committee (Other User) Member</b>	has the meaning given to that expression in Section G7.10 (Membership of the Security Sub-Committee)
<b>Security Sub-Committee (Supplier) Members</b>	has the meaning given to that expression in Section G7.6 (Membership of the Security Sub-Committee).
<b>Security Sub-Committee Chair</b>	has the meaning given to that expression in Section G7.5 (Membership of the Security Sub-Committee).
<b>Security Sub-Committee Member</b>	has the meaning given to that expression in Section G7.3 (Membership of the Security Sub-Committee).
<b>Self-Service Interface</b>	has the meaning given to that expression in Section H8.15 (Self-Service Interface).
<b>Self-Service Interface Code of Connection</b>	means the SEC Subsidiary Document of that name set out in Appendix [TBC].
<b>Self-Service Interface</b>	means the SEC Subsidiary Document of that name set

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<b>Design Specification</b>	out in Appendix [TBC].
<b>Separate</b>	means, in relation to any System, software or firmware, to establish controls which are appropriately designed to ensure that no communication may take place between it and any other System, software or firmware (as the case may be) except to the extent that such communication is for a necessary purpose having regard to the intended operation of the System, software or firmware (and " <b>Separated</b> " and " <b>Separation</b> " are to be interpreted accordingly).
<b>Sequenced Services</b>	has the meaning given to that expression in Section H3.13 (Sequenced Services).
<b>Service Desk</b>	has the meaning given to that expression in Section H8.19 (Service Desk).
<b>Service Level</b>	means, in respect of each Performance Measure and each Performance Measurement Period:  (a) where that Performance Measure relates to an activity that is performed on a number of separate occasions:  (i) the number of occasions during the Performance Measurement Period on which that activity was performed in accordance with the relevant Service Level Requirement,  expressed as a percentage of, or a number in relation to:  (ii) the total number of occasions during the Performance Measurement Period on which that activity was performed;



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- (b) where that Performance Measure relates to an activity that is performed over a period of time:
  - (i) the period of time during the Performance Measurement Period on which that activity was performed, expressed as a percentage of:
  - (ii) the period of time during the Performance Measurement Period on which that activity would have been performed if it had been performed in accordance with the relevant Service Level Requirement,

provided that in each case the DCC may establish the Service Level for a Performance Measure in accordance with the Performance Measurement Methodology.

**Service Level Requirements** means:

- (a) in respect of each Code Performance Measure, the Target Response Time, Target Resolution Time or Target Availability Time (applicable in accordance with the table at Section H13.1 (Code Performance Measures) or at Section L8.6 (Code Performance Measures)); or
- (b) in respect of each Service Provider Performance Measure, the standard to which the relevant DCC Service Provider is obliged by its DCC Service Provider Contract to perform the activity that is the subject of the Service Provider Performance Measure.

**Service Management** means the Information Technology Infrastructure

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<b>Standards</b>	Library (ITIL®) standards for IT services management, as issued and updated by the Cabinet Office from time to time.
<b>Service Provider Performance Measures</b>	means the performance measures (however described and from time to time) for each DCC Service Provider under each DCC Service Provider Contract.
<b>Service Request</b>	means a request for one of the Services listed in the DCC User Interface Services Schedule (or, in the case of Elective Communication Services, provided for in the relevant Bilateral Agreement).
<b>Service Request Processing Document</b>	means the SEC Subsidiary Document of that name set out in Appendix [TBC].
<b>Service Response</b>	means, in respect of a Service Request sent by a User, one or more communications in response to that Service Request from the DCC to the User (not being a Pre-Command).
<b>Services</b>	means the services provided, or to be provided, by the DCC pursuant to Sections F5 (Communications Hub Forecasts and Orders) to F10 (Test Communications Hubs), Section H (DCC Services), or Section L (Smart Metering Key Infrastructure and DCC Key Infrastructure), including pursuant to Bilateral Agreements.
<b>Services FM</b>	means, in respect of any Services, the occurrence of any of the following: <ul style="list-style-type: none"><li>(a) war, civil war, riot, civil commotion or armed conflict;</li><li>(b) terrorism (being the use or threat of action designed to influence the government or</li></ul>

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intimidate the public or for the purpose of advancing a political, religious or ideological cause and which involves serious violence against a person or serious damage to property, endangers a person's life, creates a serious risk to the public or is designed to seriously interfere with or disrupt an electronic system);

- (c) nuclear, chemical or biological contamination;
- (d) earthquakes, fire, storm damage or severe flooding (if in each case it affects a significant geographical area); and/or
- (e) any blockade or embargo (if in each case it affects a significant geographical area).

### **Services IPR**

has the meaning given to that expression in Section M5.14 (Services IPR).

### **Shared Resources**

in relation to any User Systems, has the meaning given to that expression in Section G5.25 (Shared Resources).

### **Shared Secret**

means a parameter that is (or may be) derived from a Private Key and a Public Key which are not from the same Key Pair in accordance with the GB Companion Specification.

### **Shared Solution Alt HAN Equipment**

has the meaning given to that expression in accordance with standard condition 55 of the Electricity Supply Licence (Smart Metering – The Alt HAN Arrangements) and standard condition 49 of the Gas Supply Licence (Smart Metering – The Alt HAN Arrangements).

### **Signed Pre-Command**

means a communication containing the Digitally

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Signed GBCS Payload of a Pre-Command that has been Digitally Signed by a User or the CoS Party.

### **Significant Code Review**

means a review of one or more matters by the Authority which the Authority considers is:

- (a) related to this Code (whether on its own or together with other Energy Codes); and
- (b) likely to be of significance in relation to the Authority's principal objective and/or general duties (as set out in section 3A of the Electricity Act and section 4AA of the Gas Act), statutory functions and/or relevant obligations arising under EU law,

and concerning which the Authority has issued a notice that the review will constitute a significant code review.

### **Significant Code Review Phase**

means, in respect of each Significant Code Review, the period from the date on which the Authority issues the notice stating that the matter is to constitute a Significant Code Review, and ending on the earlier of:

- (a) the date on which the DCC submits a Modification Proposal in respect of any variations arising out of a Significant Code Review that the DCC is directed to submit by the Authority;
- (b) the date on which the Authority issues a conclusion that no modification is required to this Code as a result of the Significant Code Review; or
- (c) the date 28 days after the date on which the Authority issues its conclusion document in

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respect of the Significant Code Review.

<b>SIT Approach Document</b>	has the meaning given to that expression in Section T2.5 (SIT Approach Document).
<b>SIT Objective</b>	has the meaning given to that expression in Section T2.2 (SIT Objective).
<b>SM WAN</b>	means the means by which the DCC sends, receives and conveys communications to and from Communications Hub Functions.
<b>SM WAN Coverage Database</b>	means the information made available via the SSI pursuant to Section H8.16(f) (and which is also available via the CH Ordering System).
<b>Small Supplier Party</b>	means a Supplier Party which, at the time at which it is necessary to assess the status of the Party, supplies electricity and/or gas to fewer than 250,000 (two hundred and fifty thousand) Domestic Premises.
<b>Smart Meter</b>	means either an Electricity Smart Meter or a Gas Smart Meter (as the context requires).
<b>Smart Metering Equipment Technical Specification</b>	means the document(s) set out in Schedule [TBC].
<b>Smart Metering Inventory</b>	means an electronic database of Devices which records (as a minimum) the following information in respect of each Device: <ul style="list-style-type: none"><li>(a) its Device Type;</li><li>(b) its Device ID;</li><li>(c) its Device Model (provided that no firmware version is needed for Type 2 Devices);</li><li>(d) for Devices other than Type 2 Devices, its SMI</li></ul>

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Status, and the date from which that status has applied;

- (e) for Devices other than Type 2 Devices, its SMI Status history;
- (f) where it is a Smart Meter which has been installed, the related MPAN or MPRN and the Communications Hub Function with which that Smart Meter is associated; and
- (g) where it is a Device (other than a Smart Meter or a Communications Hub Function), the Smart Meter or Gas Proxy Function with which that Device is associated.

### **Smart Metering Key Infrastructure (or SMKI)**

means the public key infrastructure established by DCC for the purpose, among other things, of providing secure communications between Devices and Users.

### **Smart Metering System**

means either:

- (a) an Electricity Smart Meter together with the Communications Hub Function with which it is Associated, together with the Type 1 Devices (if any) that may from time to time be Associated with that Electricity Smart Meter; or
- (b) a Gas Smart Meter together with the Communications Hub Function with which it is Associated and an Associated Gas Proxy Function, together with the Type 1 Devices (if any) that may from time to time be Associated with that Gas Proxy Function.

### **SMETS**

means the Smart Metering Equipment Technical Specification.

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<b>SMI Status</b>	<p>means the status indicator of each Device recorded within the Smart Metering Inventory, which indicator may (as a minimum) be set to any one of the following:</p> <ul style="list-style-type: none"><li>(a) 'pending', indicating that the Device has not yet been Commissioned;</li><li>(b) 'installed not commissioned', indicating that the Device is ready to be Commissioned, but has not yet been Commissioned;</li><li>(c) 'commissioned', indicating that the Device has been Commissioned;</li><li>(d) 'decommissioned', indicating that the Device has been Decommissioned;</li><li>(e) 'withdrawn', indicating that the Device has been Withdrawn;</li><li>(f) 'suspended', indicating that the Device has been Suspended; or</li><li>(g) 'whitelisted', indicating that a Device has been added to the Device Log of a Communications Hub Function but that communications between the Device and the Communications Hub Function may not yet have been established.</li></ul>
<b>SMKI and Repository Entry Process Tests</b>	<p>means the tests described in Section H14.22 (SMKI and Repository Entry Process Tests).</p>
<b>SMKI and Repository Test Scenario Document</b>	<p>means the SEC Subsidiary Document of that name set out in Appendix K, which is originally to be developed pursuant to Section T6 (Development of Enduring Testing Documents).</p>
<b>SMKI and Repository</b>	<p>means the testing described in Section T5 (SMKI and</p>

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<b>Testing</b>	Repository Testing).
<b>SMKI Code of Connection</b>	means the SEC Subsidiary Document of that name set out in Appendix [TBC], which:  (a) has the purpose described in Section L4.5 (SMKI Code of Connection); and  (b) is originally to be developed pursuant to Sections L4.6 to L4.7 (SMKI Interface Document Development).
<b>SMKI Compliance Policy</b>	means the SEC Subsidiary Document of that name set out in Appendix C.
<b>SMKI Document Set</b>	has the meaning given to that expression in Section L9.3 (the SMKI Document Set).
<b>SMKI Independent Assurance Scheme</b>	has the meaning given to that expression in Part 2.1 of the SMKI Compliance Policy (DCC: Duty to Submit to an SMKI Independent Assurance Scheme).
<b>SMKI Interface Design Specification</b>	means the SEC Subsidiary Document of that name set out in Appendix [TBC], which:  (a) has the purpose described in Section L4.4 (SMKI Interface Design Specification); and  (b) is originally to be developed pursuant to Sections L4.6 to L4.7 (SMKI Interface Document Development).
<b>SMKI Participants</b>	means the DCC (acting in its capacity as the provider of the SMKI Services), all Authorised Subscribers and all Relying Parties.
<b>SMKI PMA</b>	means the Sub-Committee of that name established pursuant to Section L1 (SMKI Policy Management Authority).



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<b>SMKI PMA (Network) Member</b>	has the meaning given to that expression in Section L1.8 (Membership of the SMKI PMA).
<b>SMKI PMA (Supplier) Members</b>	has the meaning given to that expression in Section L1.6 (Membership of the SMKI PMA).
<b>SMKI PMA Chair</b>	has the meaning given to that expression in Section L1.5 (Membership of the SMKI PMA).
<b>SMKI PMA Member</b>	has the meaning given to that expression in Section L1.3 (Membership of the SMKI PMA).
<b>SMKI Recovery Key Guidance</b>	has the meaning given to that expression in Section L10.9 (The SMKI Recovery Key Guidance).
<b>SMKI Recovery Procedure</b>	means the SEC Subsidiary Document of that name set out in Appendix [TBC], which: <ul style="list-style-type: none"><li>(a) has the purpose described in Section L10.1 (The SMKI Recovery Procedure); and</li><li>(b) is originally to be developed pursuant to Sections L10.7 to L10.8 (SMKI Recovery Procedure: Document Development).</li></ul>
<b>SMKI Registration Authority Policies and Procedures (or SMKI RAPP)</b>	means the SEC Subsidiary Document of that name set out in Appendix D, which is originally to be developed pursuant to Sections L9.5 to L9.6 (the Registration Authority Policies and Procedures: Document Development).
<b>SMKI Repository</b>	has the meaning given to that expression in Section L5.1 (the SMKI Repository).
<b>SMKI Repository Code of Connection</b>	means the SEC Subsidiary Document of that name set out in Appendix [TBC], which: <ul style="list-style-type: none"><li>(a) has the purpose described in Section L6.5</li></ul>

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(SMKI Repository Code of Connection); and

- (b) is originally to be developed pursuant to Sections L6.6 to L6.7 (SMKI Repository Interface Document Development).

**SMKI Repository Interface** has the meaning given to that expression in Section L6.3 (the SMKI Repository Interface).

**SMKI Repository Interface Design Specification** means the SEC Subsidiary Document of that name set out in Appendix [TBC], which:

- (a) has the purpose described in Section L6.4 (SMKI Repository Interface Design Specification); and
- (b) is originally to be developed pursuant to Sections L6.6 to L6.7 (SMKI Repository Interface Document Development).

**SMKI Repository Service** has the meaning given to that expression in Section L5.2 (the SMKI Repository Service).

**SMKI SEC Documents** has the meaning given to that expression in Section L9.4 (the SMKI SEC Documents).

**SMKI Service Interface** has the meaning given to that expression in Section L4.3 (the SMKI Service Interface).

**SMKI Services** has the meaning given to that expression in Section L3.1 (the SMKI Services).

**SMKI Specialist** means an individual (rather than a body corporate, association or partnership) to be appointed and remunerated under a contract with SECCo, who:

- (a) has experience and expertise in public key infrastructure arrangements;
- (b) is sufficiently independent of any particular

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Party or RDP, or class of Parties or RDPs, and of the Independent SMKI Assurance Service Provider; and

(c) is chosen by the SMKI PMA Chair from time to time.

### **SOC2**

means the Service Organisation Control 2 standard, as defined by the American Institute of Certified Public Accountants.

### **Solution Architecture Information**

means a description of the overall technical architecture of the DCC Systems (or any part thereof) in more detail than the Technical Architecture Document so as to describe the individual components of the DCC Systems (including hardware and software) and how they interface with the User Systems.

### **SPAA**

means the Supply Point Administration Agreement established pursuant to the Gas Supply Licences.

### **Special Second-Fuel Installation**

means, in the case of a premises for which there is both an Electricity Smart Meter and a Gas Smart Meter, where on the installation of the second of those two meters to be installed it was necessary to replace the Communications Hub relating to the first of those two meters to be installed because that Communications Hub was not able to serve the second of those two meters to be installed (with the consequence that the Communications Hub that is replaced is removed from the premises and returned to the DCC).

### **Special WAN-Variant Installation**

means that the DCC requests (in accordance with the Incident Management Policy) that a Supplier Party

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	replaces an installed Communications Hub with a Communications Hub of a different WAN Variant to the installed Communications Hub, with the consequence that the Communications Hub that is replaced is removed from the premises and returned to the DCC.
<b>Specimen Accession Agreement</b>	means the specimen form of agreement set out in Schedule 2.
<b>Specimen Bilateral Agreement</b>	means the specimen form of agreement set out in Schedule 3.
<b>Specimen Enabling Services Agreement</b>	means the form of specimen agreement set out in Schedule 7 (Specimen Enabling Services Agreement).
<b>SRT Approach Document</b>	has the meaning given to that expression in Section T5.5 (SRT Approach Document).
<b>SRT Objective</b>	has the meaning given to that expression in Section T5.2 (SRT Objective).
<b>Stage 1 Assurance Report</b>	has the meaning given to that expression in Part 4.4 of the SMKI Compliance Policy (Nature of the Initial Assessment).
<b>Stage 2 Assurance Report</b>	has the meaning given to that expression in Part 4.6 of the SMKI Compliance Policy (Nature of the Initial Assessment).
<b>Statement of Service Exemptions</b>	means a statement of that name developed by the DCC in accordance with Condition 17 of the DCC Licence.
<b>Sub-Committee</b>	has the meaning given to that expression in Section C6 (Sub-Committees).
<b>Subject</b>	in relation to a Certificate, has the meaning given to

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	that expression in the relevant Certificate Policy.
<b>Subscriber</b>	means, in relation to any Certificate, a Party or RDP which has been Issued with and accepted that Certificate, acting in its capacity as the holder of the Certificate.
<b>Subscriber Obligations</b>	means the provisions in respect of Subscribers set out at Section L11 of the Code (the Subscriber Agreement Obligations).
<b>Successfully Executed</b>	means: <ul style="list-style-type: none"><li>(a) in respect of a Command and a Device, that the action that a Command of the relevant type is designed to effect in respect of a Device of the relevant Device Type has been effected on the Device; or</li><li>(b) in respect of a Service Request and a Device, that the associated Command has been Successfully Executed on the Device as described in (a) above (or, in the case of Service Requests that are not designed to result in a Command, that the action that a Service Request of the relevant type is designed to effect has been effected).</li></ul>
<b>Successor Licensee</b>	has the meaning given to that expression in Section M9.2 (Application and Interpretation of Section M9).
<b>Supplementary Remote Party</b>	has the meaning given to that expression in the GB Companion Specification.
<b>Supplier Party</b>	means a Party that is an Electricity Supplier Party and/or a Gas Supplier Party.

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<b>Supply Meter Point</b>	has the meaning given to that expression in the UNC.
<b>Supply Meter Point Reference Number</b>	has the meaning given to that expression in the UNC.
<b>Supply Number</b>	has the meaning given to that expression in the MRA.
<b>Supply of Energy</b>	means either or both of the supply of gas pursuant to the Gas Act and the supply of electricity pursuant to the Electricity Act (in each case within the meaning that is given to the expression “supply” in the respective Act).
<b>Supply Sensitive Check</b>	means a check carried out by a User in relation to a Supply Sensitive Service Request in order to confirm the intention of the User that the associated Command should be executed on the relevant Device, having regard to the reasonably foreseeable effect that the Command could have on the quantity of gas or electricity that is supplied to a consumer at premises.
<b>Supply Sensitive Service Request</b>	means any Service Request in respect of which it is reasonably foreseeable that the associated Command, if it were to be executed on the relevant Device, could affect (either directly or indirectly) the quantity of gas or electricity that is supplied to a consumer at premises.
<b>Suspended</b>	means, in respect of a Device, that the Device has been suspended (or deemed suspended) in accordance with Section H6.10 (Suspension); and the word “ <b>Suspension</b> ” shall be interpreted accordingly.
<b>Symmetric Key</b>	means any key derived from a Shared Secret in accordance with the GB Companion Specification

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<b>System</b>	means a system for generating, sending, receiving, storing (including for the purposes of Back-Up), manipulating or otherwise processing electronic communications, including all hardware, software, firmware and Data associated therewith.
<b>System Development Lifecycle</b>	means, in relation to any System, the whole of the life of that System from its initial concept to ultimate disposal, including the stages of development, design, build, testing, configuration, implementation, operation, maintenance, modification and decommissioning.
<b>Systems Integration Testing</b>	means the testing described in Section T2 (Systems Integration Testing).
<b>Target Availability Period</b>	means, in relation to the Self-Service Interface, a period of time in respect of each month, expressed in minutes and calculated as:  (a) the total number of minutes in that month, minus  (b) the number of minutes during which the relevant DCC Service Provider has, acting in compliance with Sections H8.2 and H8.3 (Maintenance of the DCC Systems), arranged for the Self-Service Interface to be unavailable during that month for the purposes of Planned Maintenance.
<b>Target Resolution Time</b>	has the meaning given to that expression in Section H9.1 (Incident Management Policy).
<b>Target Response Time</b>	has the meaning given to that expression in Section H3.14 (Target Response Times) or L8 (SMKI Performance Standards and Demand Management).

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<b>Target Service Level</b>	<p>means, in respect of each Performance Measure, the number or percentage intended to represent a reasonable level of performance for the activity which is the subject of the Performance Measure, as set out in:</p> <ul style="list-style-type: none"><li>(a) Section H13.1 (Code Performance Measures);</li><li>(b) the Reported List of Service Provider Performance Measures; or</li><li>(c) Section L8.6 (Code Performance Measures).</li></ul>
<b>TCH Participant</b>	<p>has the meaning given to that expression in Section F10.5 (Provision of Test Communications Hubs).</p>
<b>Technical Architecture Document</b>	<p>means a document setting out a representation of the End-to-End Technical Architecture.</p>
<b>Technical Code Specifications</b>	<p>means the Technical Specifications, 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 Data Interface Documents, the Message Mapping Catalogue, the Incident Management Policy, the DCC Release Management Policy, the Panel Release Management Policy, the SMKI Interface Design Specification, the SMKI Code of Connection, the SMKI Repository Interface Design Specification and the SMKI Repository Code of Connection.</p>
<b>Technical Specification</b>	<p>means each of the CHTS and the SMETS.</p>
<b>Technical Sub-Committee</b>	<p>means the Sub-Committee established pursuant to Section F1 (Technical Sub-Committee).</p>



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<b>Test Certificate</b>	means a certificate that simulates the function of a Certificate for the purpose of testing pursuant to this Code.
<b>Test Communications Hub</b>	means: <ul style="list-style-type: none"><li>(a) until such date as the DCC may determine (or such earlier date as the Secretary of State may designate for the purposes of this definition), a Prototype Communications Hub; and</li><li>(b) after such date, a Communications Hub provided (or to be provided) for the purpose of testing as described in Section F10 (Test Communications Hubs).</li></ul>
<b>Test Repository</b>	means a repository that simulates the function of the SMKI Repository for the purpose of testing pursuant to this Code.
<b>Test Stubs</b>	means Systems and actions which simulate the behaviour of Devices and User Systems.
<b>Testing Issue</b>	means, in respect of any tests: <ul style="list-style-type: none"><li>(a) anything that is preventing the execution of the tests; or</li><li>(b) once commenced or executed, the test has an unexpected or unexplained outcome or response.</li></ul>
<b>Testing Objectives</b>	means one or more of the SIT Objective and the Interface Testing Objective.
<b>Testing Participant</b>	means, in respect of each Testing Service, the persons (whether or not they are Parties) who are entitled to undertake such tests, as described in Section H14 (Testing Services), together with any other persons

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identified as such in Section T (Testing During Transition).

### **Testing Service**

has the meaning given to that expression in Section H14.1 (General Testing Requirements).

### **Threshold Anomaly Detection**

means the DCC processes which:

- (a) in respect of any User, detect whether the total number of communications (in general or of a particular type) sent, received or processed by the DCC in relation to that User exceeds the relevant Anomaly Detection Threshold;
- (b) in respect of the DCC, detect whether:
  - (i) the total number of communications of a particular type sent, received or processed by the DCC in relation to all Users and the CoS Party exceeds the relevant Anomaly Detection Threshold; and
  - (ii) a data value within a communication of a particular type sent, received or processed by the DCC in relation to a User exceeds or is less than the relevant Anomaly Detection Threshold; and
- (c) quarantine those communications that, in the case of paragraph (a) or (b)(i) above, are in excess of the relevant Anomaly Detection Threshold or, in the case of paragraph (b)(ii) above, contain a data value that exceeds or is less than the relevant Anomaly Detection Threshold.

### **Threshold Anomaly Detection Procedures**

means the SEC Subsidiary Document of that name set out in Appendix [TBC], which:

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- (a) has the purpose described in Section G6.1 (Threshold Anomaly Detection Procedures); and
- (b) is originally to be developed pursuant to Section X10 (Threshold Anomaly Detection Procedures).

<b>Transform</b>	means, in respect of a Service Request in relation to a Device, the conversion of that Service Request into one or more corresponding Commands (less any required Message Authentication Code or Digital Signatures), where such correspondence is identified in the DCC User Interface Specification in respect of particular types of Service Request and particular Device Types; and “ <b>Transformed</b> ” shall be interpreted accordingly.
<b>Transition Objective</b>	has the meaning given to that expression in Section X1 (General Provisions Regarding Transition).
<b>Type 1 Device</b>	means a HAN Connected Auxiliary Load Control Switch or a Pre-Payment Meter Interface Device.
<b>Type 2 Device</b>	has the meaning given to that expression in the SMETS.
<b>Type 2 Device (Other)</b>	means a Type 2 Device that is not an IHD.
<b>UKAS</b>	means the United Kingdom Accreditation Service
<b>UNC</b>	means the Uniform Network Code established pursuant to the Gas Transporter Licences.
<b>Unknown Remote Party</b>	has the meaning given to that expression in the GB Companion Specification.
<b>Unplanned Maintenance</b>	means, in respect of a month, Maintenance of the DCC Systems that was not planned prior to the start of that

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month and which disrupts, will disrupt, or poses a Material Risk of disruption to, provision of the Services (and, where it disrupts, will disrupt, or poses a Material Risk of disruption to, the provision of the Services in relation to Devices associated with Communications Hubs, at least 100,000 Communications Hubs are affected).

<b>UPRN</b>	means the unique property reference number (if any) recorded in respect of a premises so as to link the MPAN(s) and MPRN for that premises.
<b>Urgent Proposal</b>	has the meaning given to that expression in Section D4.6 (Urgent Proposals).
<b>User</b>	means a Party that has completed the User Entry Process (and, in respect of Services available in accordance with this Code to Users acting only in one or more User Roles, a Party that has completed the User Entry Process for that User Role).
<b>User Entry Process</b>	means the process described in Section H1 (User Entry Process).
<b>User Entry Process Tests</b>	means the tests described in Section H14.13 (User Entry Process Tests).
<b>User ID</b>	means, in respect of a User and a User Role, one of the unique identification numbers accepted by the DCC in respect of that User and that User Role under Section H1.6 (User Roles and User IDs).
<b>User Independent Security Assurance Service Provider</b>	has the meaning given to that expression in Section G8.1 (Procurement of the Independent Security Assurance Service Provider).

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<b>User Personnel</b>	means those persons who are engaged by a User, in so far as such persons carry out, or are authorised to carry out, any activity in relation to the business of the User in the exercise of rights and compliance with obligations under this Code.
<b>User Privacy Self-Assessment</b>	has the meaning given to that expression in Section I2.12 (Categories of Assessment).
<b>User Privacy Self-Assessment Report</b>	has the meaning given to that expression in Section I2.24 (The User Privacy Self-Assessment Report).
<b>User Role</b>	means, in respect of the Service set out in the DCC User Interface Services Schedule and Elective Communication Services, one of the categories of User that is capable of being an Eligible User in respect of those Services (determined without reference to a particular Smart Metering System), and which comprise the following categories (construed without reference to a particular Smart Metering System): Import Supplier, Export Supplier, Gas Supplier, Electricity Distributor, Gas Transporter, Registered Supplier Agent and Other User.
<b>User Security Assessment</b>	means either a Full User Security Assessment or a Verification User Security Assessment.
<b>User Security Assessment Methodology</b>	means a methodology to be applied (as the case may be):  (a) by the User Independent Security Assurance Service Provider in carrying out any User Security Assessment; or  (b) by a User, in carrying out any User Security Self-Assessment,

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in each case in accordance with the provisions of the Security Controls Framework applicable to the relevant category of security assurance assessment.

**User Security Assessment Report** has the meaning given to that expression in Section G8.22 (User Security Assessments: General Procedure).

**User Security Assessment Response** has the meaning given to that expression in Section G8.24 (User Security Assessments: General Procedure).

**User Security Self-Assessment** has the meaning given to that expression in Section G8.18 (Categories of Security Assurance Assessment).

**User Systems** means any Systems (excluding any Devices) which are operated by or on behalf of a User and used in whole or in part for:

- (a) constructing Service Requests;
- (b) sending Service Requests over the DCC User Interface;
- (c) receiving, sending, storing, using or otherwise carrying out any processing in respect of any Pre-Command or Signed Pre-Command;
- (d) receiving Service Responses or Alerts over the DCC User Interface;
- (e) generating Data for communication to the OCA, DCA, ICA or DCCKICA, or receiving Data from the OCA, DCA, ICA or DCCKICA (including any Systems which store or use Secret Key Material for such purposes); and/or
- (f) generating Data for the purposes of lodging in the SMKI Repository or DCCKI Repository, or

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retrieving Data from the SMKI Repository or DCCKI Repository,

and any other Systems from which the Systems used in whole or in part for the purposes set out in paragraphs (a) to (f) are not Separated.

### **Valid Technical Specification**

means, in respect of a Technical Specification and a device which was installed at a particular point in time, one of the versions of that Technical Specification that has (or had) a validity period including that point in time (where validity period is the period identified as such within that version of the Technical Specification).

### **Valid Communications Hub Order**

means the Consignment or Consignments which arise from a Communications Hub Order that has been accepted by the DCC under Section F5.16 or F5.17 (DCC: Duties in relation to Communications Hub Orders), and which have not been cancelled by the ordering Party in accordance with Section F5.19 (Non-Standard Cancellation of Consignments).

### **Validity Period**

has the meaning given to that expression in any of the Certificate Policies or the DCCKI Certificate Policy.

### **Value at Risk**

has the meaning given to that expression in Section J3.3 (User's Value at Risk).

### **VAT**

means VAT, as defined in the Value Added Tax Act 1994, and any tax of a similar nature which may be substituted for or levied in addition to it.

### **Verification User Security Assessment**

has the meaning given to that expression in Section G8.17 (Categories of Security Assurance Assessment).

### **Verify**

means, in respect of a Service Request, to confirm that

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it meets all the applicable requirements of the DCC User Interface Specification.

### **Volume Scenarios**

means the capacity levels to which the DCC Systems will be tested.

### **Voting Group**

means, in respect of each Party Category, each Party that falls into that Party Category collectively with that Party's Affiliates (if any) who also fall into that Party Category.

### **WAN Variants**

means the variations of Communications Hub that are necessary to enable communications via the SM WAN in each Region (and each part thereof that is not subject to the Statement of Service Exemptions).

### **Website**

means a dedicated website established at the direction of the Panel for the purposes of this Code.

### **Withdrawal**

means, in respect of a Smart Metering System (or a Device), the act of ending that Smart Metering System's Enrolment (or, in the case of a Device, of ending the Enrolment of the Smart Metering System of which that Device forms part) in accordance with Section H6.7 (Withdrawal); and the words "**Withdraw**" and "**Withdrawn**" shall be interpreted accordingly.

### **Working Day**

means any day other than a Saturday, a Sunday, Christmas Day, Good Friday, or a day that is a bank holiday within the meaning of the Banking and Financial Dealings Act 1971.

### **Working Group**

has the meaning given to that expression in Section D6.2 (Establishment of a Working Group).



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### **Zigbee Alliance**

means the association of that name administered by ZigBee Alliance Inc (2400 Camino Ramon, Suite 375, San Ramon, CA 94583, USA) (see - [www.zigbee.org](http://www.zigbee.org)).

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### A2 INTERPRETATION

A2.1 In this Code, unless the context otherwise requires, any reference to:

- (a) a “person” includes a reference to an individual, a body corporate, an association, a partnership or a Competent Authority;
- (b) the singular includes the plural, and vice versa;
- (c) a gender includes every gender;
- (d) a Section or Schedule is a reference (respectively) to the section of, or schedule to, this Code which bears the relevant letter, number or letter and number;
- (e) a numbered Paragraph or a numbered Clause is a reference to the paragraph or clause of the Schedule or Appendix in which such reference occurs;
- (f) a numbered Condition (with or without a letter) is a reference to the licence condition bearing that number (and, where relevant, letter) in the Energy Licence indicated (and, save in the case of the DCC Licence, is a reference to the standard licence conditions of that Energy Licence);
- (g) writing (or similar) includes all methods of reproducing words in a legible and non-transitory form (including email);
- (h) a day, week or month is a reference (respectively) to a calendar day, a week starting on a Monday, or a calendar month;
- (i) a time is a reference to that time in the UK;
- (j) any statute or statutory provision includes any subordinate legislation made under it, any provision which it has modified or re-enacted, and any provision which subsequently supersedes or re-enacts it (with or without modification);
- (k) an agreement, code, licence or other document is to such agreement, code, licence or other document as amended, supplemented, novated or replaced from time to time;
- (l) a Party shall include reference to that Party’s respective successors, (in the

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case of the DCC) to the person to whom the DCC may novate its rights and obligations pursuant to Section M9 (Transfer of DCC Licence), and (as the context permits) reference to the respective persons to whom that Party may sub-contract or otherwise delegate its rights and/or obligations under this Code in accordance with Section M11.8 and M11.9 (which shall include, in the case of the DCC, reference to the DCC Service Providers);

- (m) any premises of a Party shall include references to any premises owned or occupied by that Party and (as the context permits) by the respective persons to whom that Party may sub-contract or otherwise delegate its rights and/or obligations under this Code in accordance with Section M11.8 and M11.9 (which shall include, in the case of the DCC, reference to the DCC Service Providers);
- (n) a Competent Authority or other public organisation includes a reference to its successors, or to any organisation to which some or all of its functions and responsibilities have been transferred; and
- (o) an expression that is stated to have the meaning given to it in an Energy Licence (other than the DCC Licence) is a reference to that expression as defined in the standard licence conditions for the Energy Licence indicated.

A2.2 The headings in this Code are for ease of reference only and shall not affect its interpretation.

A2.3 In this Code, the words preceding “include”, “including” or “in particular” are to be construed without limitation to the generality of the words following those expressions.

A2.4 The language of this Code is English. All notices and other communications sent between any of the Parties, the Panel, SECCo, the Code Administrator and the Secretariat shall be in English.

A2.5 Except where expressly stated to the contrary, in the event of any conflict between the provisions of this Code, the following order of precedence shall apply:

- (a) the Sections, as among which Section X (Transition) shall take precedence;

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then

- (b) the Schedules; then
- (c) the SEC Subsidiary Documents.

A2.6 Except to the extent that any provision of Section T (Testing During Transition) otherwise provides (in which case that provision shall take precedence), Section A2.7 shall apply, during the period prior to Completion of Implementation, where initial capital letters are used for any expression in this Code that either is not defined in this Code or the definition of which cannot be given effect by reference to the provisions of this Code.

A2.7 Any expression of the type referred to in Section A2.6 shall be interpreted as having the meaning given to that expression in the decision or consultation document concerning the intended future definition of such expression most recently published by the Secretary of State prior to the date on which this Section A2.7 comes into force.

A2.8 Where no time period is specified for performance of any obligation under this Code, the obligation shall be performed as soon as reasonably practicable.