

# SYSTEMS REFERENCE DELIVERABLE



---

**Definition of extended SGAM smart energy grid reference architecture model**



## THIS PUBLICATION IS COPYRIGHT PROTECTED

Copyright © 2021 IEC, Geneva, Switzerland

All rights reserved. Unless otherwise specified, no part of this publication may be reproduced or utilized in any form or by any means, electronic or mechanical, including photocopying and microfilm, without permission in writing from either IEC or IEC's member National Committee in the country of the requester. If you have any questions about IEC copyright or have an enquiry about obtaining additional rights to this publication, please contact the address below or your local IEC member National Committee for further information.

IEC Central Office  
3, rue de Varembe  
CH-1211 Geneva 20  
Switzerland

Tel.: +41 22 919 02 11  
[info@iec.ch](mailto:info@iec.ch)  
[www.iec.ch](http://www.iec.ch)

### About the IEC

The International Electrotechnical Commission (IEC) is the leading global organization that prepares and publishes International Standards for all electrical, electronic and related technologies.

### About IEC publications

The technical content of IEC publications is kept under constant review by the IEC. Please make sure that you have the latest edition, a corrigendum or an amendment might have been published.

#### IEC publications search - [webstore.iec.ch/advsearchform](http://webstore.iec.ch/advsearchform)

The advanced search enables to find IEC publications by a variety of criteria (reference number, text, technical committee, ...). It also gives information on projects, replaced and withdrawn publications.

#### IEC Just Published - [webstore.iec.ch/justpublished](http://webstore.iec.ch/justpublished)

Stay up to date on all new IEC publications. Just Published details all new publications released. Available online and once a month by email.

#### IEC Customer Service Centre - [webstore.iec.ch/csc](http://webstore.iec.ch/csc)

If you wish to give us your feedback on this publication or need further assistance, please contact the Customer Service Centre: [sales@iec.ch](mailto:sales@iec.ch).

#### IEC online collection - [oc.iec.ch](http://oc.iec.ch)

Discover our powerful search engine and read freely all the publications previews. With a subscription you will always have access to up to date content tailored to your needs.

#### Electropedia - [www.electropedia.org](http://www.electropedia.org)

The world's leading online dictionary on electrotechnology, containing more than 22 000 terminological entries in English and French, with equivalent terms in 18 additional languages. Also known as the International Electrotechnical Vocabulary (IEV) online.

# SYSTEMS REFERENCE DELIVERABLE



---

**Definition of extended SGAM smart energy grid reference architecture model**

INTERNATIONAL  
ELECTROTECHNICAL  
COMMISSION

---

ICS 29.020

ISBN 978-2-8322-1012-6

**Warning! Make sure that you obtained this publication from an authorized distributor.**

## CONTENTS

|   |    |
|---|----|
| FOREWORD.....   | 6  |
| INTRODUCTION.....   | 8  |
| 1 Scope.....  | 9  |
| 2 Normative references .....  | 9  |
| 3 Terms, definitions and abbreviated terms .....                            | 9  |
| 3.1 Terms and definitions.....  | 9  |
| 3.2 Abbreviated terms.....  | 13 |
| 4 Interoperability in the context of the smart energy grid.....             | 14 |
| 4.1 Overview.....   | 14 |
| 4.2 General.....  | 16 |
| 4.3 Interoperability definition.....  | 16 |
| 4.4 Interoperability categories.....  | 16 |
| 5 SGAM framework elements .....   | 17 |
| 5.1 General.....  | 17 |
| 5.2 SGAM interoperability layers.....                                       | 17 |
| 5.2.1 General .....   | 17 |
| 5.2.2 Business layer.....   | 18 |
| 5.2.3 Function layer.....   | 18 |
| 5.2.4 Information layer.....  | 18 |
| 5.2.5 Communication layer .....   | 18 |
| 5.2.6 Component layer .....   | 19 |
| 5.2.7 Architecture element grouping and interactions .....                  | 19 |
| 5.3 SGAM component plane .....  | 19 |
| 5.4 SGAM domains .....  | 20 |
| 5.5 SGAM zones.....   | 21 |
| 5.6 SGAM framework.....   | 22 |
| 5.7 Extension of SGAM for the interaction in the areas of Heat and Gas..... | 23 |
| 6 Designing procedure using the SGAM .....                                  | 26 |
| 6.1 The SGAM methodology .....  | 26 |
| 6.1.1 General.....  | 26 |
| 6.1.2 Principles .....  | 26 |
| 6.2 Mapping of use cases to SGAM framework.....                             | 27 |
| 6.2.1 General.....  | 27 |
| 6.2.2 Step 1: Use case analysis.....  | 28 |
| 6.2.3 Step 2: Development of business layer .....                           | 29 |
| 6.2.4 Development of the other layers .....                                 | 29 |
| 6.3 Business map .....  | 30 |
| 6.4 Functional architecture.....  | 31 |
| 6.5 Information architecture .....  | 31 |
| 6.5.1 General .....   | 31 |
| 6.5.2 Integration technology .....  | 31 |
| 6.5.3 Data models .....   | 33 |
| 6.5.4 Interfaces or abstract communication services.....                    | 33 |
| 6.5.5 Software module architecture .....                                    | 34 |
| 6.5.6 Information layer typical elements.....                               | 34 |
| 6.6 Communication architecture.....   | 34 |

|                       |   |    |
|-----------------------|---|----|
| 6.7                   | Component architecture .....  | 35 |
| Annex A (informative) | Ontology .....  | 36 |
| A.1                   | Underlying UML model of the ontology .....  | 36 |
| A.1.1                 | General .....   | 36 |
| A.1.2                 | From business layer to systems and architectures .....  | 36 |
| A.1.3                 | Business and system use cases, roles, actors and SGAM .....                                   | 37 |
| A.1.4                 | Business map and functional architecture .....  | 39 |
| A.1.5                 | Functional and information architectures .....  | 39 |
| A.1.6                 | Communication and information architectures .....   | 40 |
| A.1.7                 | Physical and communication architectures .....  | 41 |
| A.2                   | OWL representation of the ontology and associated diagrams .....                              | 2  |
| Annex B (informative) | Practical cases of use of the SGAM (practical manual) .....                                   | 44 |
| B.1                   | The interaction of DERs and HVAC under the control of BEMS .....                              | 44 |
| B.1.1                 | General .....   | 44 |
| B.1.2                 | Breaking down customer premises domains into subdomains .....                                 | 44 |
| B.1.3                 | Considered interactions in function layer .....   | 46 |
| B.1.4                 | Considered interactions in information layer .....  | 47 |
| B.2                   | Mapping a conceptual model onto the SGAM .....  | 48 |
| B.2.1                 | European Smart Grid conceptual model (extract from [11]) .....                                | 48 |
| B.2.2                 | Main elements of this Smart Grid conceptual model .....                                       | 49 |
| B.2.3                 | Transposition into the SGAM concepts .....  | 50 |
| B.2.4                 | Final mapping over the SGAM (excluding the generation side) .....                             | 51 |
| B.3                   | Smart grid user interfaces characterization .....   | 52 |
| B.3.1                 | General .....   | 52 |
| B.3.2                 | Identifying the main interactions .....   | 52 |
| B.3.3                 | Formalization of considered interactions .....  | 54 |
| B.3.4                 | (Example) Mapping the interfaces between the grid users and the Utilities .....               | 56 |
| B.4                   | Breaking down the Smart Grid domains into systems .....                                       | 64 |
| B.4.1                 | Overview .....  | 64 |
| B.4.2                 | Asset management systems .....  | 65 |
| B.4.3                 | Process Control systems (DMS, EMS, DER, CEMS) .....   | 66 |
| B.4.4                 | Wide Area Monitoring Systems (WAMS) .....   | 66 |
| B.4.5                 | Grid automation systems .....   | 67 |
| B.4.6                 | Flexible Alternating Current Transmission Systems (FACTS) .....                               | 67 |
| B.4.7                 | Forecast systems .....  | 67 |
| B.4.8                 | Market systems .....  | 67 |
| B.4.9                 | Smart metering systems .....  | 68 |
| B.4.10                | Geographical Information Systems .....  | 68 |
| B.4.11                | ICT connectivity services and data integration .....  | 68 |
| B.4.12                | Security .....  | 68 |
|                       | Bibliography .....  | 69 |
|                       | Figure 1 – Slicing through the SGAM at each layer .....                                       | 15 |
|                       | Figure 2 – Definition of interoperability – interoperable systems performing a function ..... | 16 |
|                       | Figure 3 – Interoperability categories defined by GWAC .....                                  | 17 |
|                       | Figure 4 – Grouping into interoperability layers .....  | 18 |
|                       | Figure 5 – SGAM component plane – domains and hierarchical zones .....                        | 20 |

|   |    |
|---|----|
| Figure 6 – The SGAM framework .....   | 23 |
| Figure 7 – The interaction model of three energies' component layer .....   | 24 |
| Figure 8 – The separated domains model .....  | 25 |
| Figure 9 – Component layer of the SGAM with separated domains .....   | 25 |
| Figure 10 – Interactions between the use case methodology and the Smart Grid Architecture Model .....   | 28 |
| Figure 11 – Use case mapping process to SGAM.....   | 28 |
| Figure 12 – Defining Smart-Grid Requirements methodology .....  | 29 |
| Figure A.1 – UML diagram - from business to systems and architecture.....   | 37 |
| Figure A.2 – UML diagram – SGAM versus roles, actors and use cases.....   | 38 |
| Figure A.3 – UML diagram – Business map and functional architecture mapped over the SGAM.....   | 39 |
| Figure A.4 – UML diagram – functional and information architectures mapped over the SGAM.....   | 40 |
| Figure A.5 – UML diagram – communication and information architectures mapped over the SGAM .....   | 41 |
| Figure A.6 – UML diagram – physical and communication architectures mapped over the SGAM.....   | 42 |
| Figure A.7 – SGAM ontology structure summary .....  | 43 |
| Figure B.1 – BEMS control of DERs and HVAC equipment in a commercial building which enables islanding operation and demand response (component layer) .....     | 45 |
| Figure B.2 –BEMS controls of DERs and HVAC equipment in a commercial building which enables islanding operation and demand response (communication layer) ..... | 46 |
| Figure B.3 – Mapping to information layer related to the example of the integration of DER and HVAC .....   | 47 |
| Figure B.4 – European Smart Grid conceptual model.....  | 49 |
| Figure B.5 – Reworked Smart Grid conceptual model based on Figure B.4 .....   | 50 |
| Figure B.6 – Main stakeholders' interactions (simplified view) – Mapping the conceptual model over the SGAM ontology .....                                      | 51 |
| Figure B.7 – European conceptual model mapped over the SGAM.....  | 52 |
| Figure B.8 – SGAM figuring the Smart Grid user interface and its interfaces .....   | 53 |
| Figure B.9 – Simplified interactions between Grid users and the grid (except the market places interactions).....   | 54 |
| Figure B.10 – Interfacing the utility with Grid users hosting DER units mapped to the SGAM component layer .....  | 58 |
| Figure B.11 – Interfacing the utility with Grid users hosting DER units mapped to the SGAM communication layer .....  | 59 |
| Figure B.12 – Interfacing the utility with Grid users hosting DER units mapped to the SGAM information layer .....  | 60 |
| Figure B.13 – IEC entities involved in interfacing the utility with Grid users hosting DER Units.....   | 61 |
| Figure B.14 – SGAM mapping of a multi-owner microgrid perceived as distribution grid user .....   | 63 |
| Figure B.15 – SGAM mapping of a multi-owner microgrid perceived by the participants as a small distribution grid .....  | 64 |
| Figure B.16 – Overview on functional clusters for SGAM in the smart grid .....  | 65 |
| Table 1 – Interoperability layer elements and interactions.....   | 19 |

Table 2 – SGAM domains ..... 20

Table 3 – SGAM zones ..... 21

Table 4 – Main elements hosted at business layer ..... 31

Table 5 – Main elements hosted at functional layer ..... 31

Table 6 – Main elements hosted at information layer ..... 34

Table 7 – Main elements hosted at communication layer ..... 35

Table 8 – Main elements hosted at component layer ..... 35

Table B 1 – Actor (stakeholder) roles associated to the example on the interaction of DERs and HVAC ..... 45

Table B 2 – Interactions between BEMS Servers and related premises ..... 47

Table B 3 – Interactions between BEMS Servers and related premises ..... 47

Table B.4 – Main (direct) Smart Grid user interactions ..... 55

Table B.5 – Main (indirect) Smart Grid user interactions ..... 56

Table B.6 – Interfaces under consideration between the grid users and the utilities ..... 56

Table B.7 – Supported business processes and use cases ..... 57

Currently in preview, click buy full version

INTERNATIONAL ELECTROTECHNICAL COMMISSION

**DEFINITION OF EXTENDED SGAM SMART ENERGY GRID REFERENCE ARCHITECTURE MODEL**

FOREWORD

- 1) The International Electrotechnical Commission (IEC) is a worldwide organization for standardization comprising all national electrotechnical committees (IEC National Committees). The object of IEC is to promote international co-operation on all questions concerning standardization in the electrical and electronic fields. To this end and in addition to other activities, IEC publishes International Standards, Technical Specifications, Technical Reports, Publicly Available Specifications (PAS) and Guides (hereafter referred to as "IEC Publication(s)"). Their preparation is entrusted to technical committees; any IEC National Committee interested in the subject dealt with may participate in this preparatory work. International, governmental and non-governmental organizations liaising with the IEC also participate in this preparation. IEC collaborates closely with the International Organization for Standardization (ISO) in accordance with conditions determined by agreement between the two organizations.
- 2) The formal decisions or agreements of IEC on technical matters express, as nearly as possible, an international consensus of opinion on the relevant subjects since each technical committee has representation from all interested IEC National Committees.
- 3) IEC Publications have the form of recommendations for international use and are accepted by IEC National Committees in that sense. While all reasonable efforts are made to ensure the technical content of IEC Publications is accurate, IEC cannot be held responsible for the way in which they are used or for any misinterpretation by any end user.
- 4) In order to promote international uniformity, IEC National Committees undertake to apply IEC Publications transparently to the maximum extent possible in their national and regional publications. Any divergence between any IEC Publication and the corresponding national or regional publication shall be clearly indicated in the latter.
- 5) IEC itself does not provide any attestation of conformity. Independent certification bodies provide conformity assessment services and, in some areas, access to IEC marks of conformity. IEC is not responsible for any services carried out by independent certification bodies.
- 6) All users should ensure that they have the latest edition of this publication.
- 7) No liability shall attach to IEC or its directors, employees, servants or agents including individual experts and members of its technical committees and IEC National Committees for any personal injury, property damage or other damage of any nature whatsoever whether direct or indirect, or for costs (including legal fees) and expenses arising out of the publication, use of, or reliance upon, this IEC Publication or any other IEC Publications.
- 8) Attention is drawn to the Normative references cited in this publication. Use of the referenced publications is indispensable for the correct application of this publication.
- 9) Attention is drawn to the possibility that some of the elements of this IEC Publication may be the subject of patent rights. IEC shall not be held responsible for identifying any or all such patent rights.

IEC SRD 63200, which is a Systems Reference Deliverable, has been prepared by IEC systems committee Smart Energy.

The text of this Systems Reference Deliverable is based on the following documents:

| Draft SRD              | Report on voting         |
|------------------------|--------------------------|
| SyCSmartEnergy/142/DTS | SyCSmartEnergy/160/RVDTS |

Full information on the voting for the approval of this Systems Reference Deliverable can be found in the report on voting indicated in the above table.

The language used for the development of this International Standard is English.

This document was drafted in accordance with ISO/IEC Directives, Part 2, and developed in accordance with ISO/IEC Directives, Part 1 and ISO/IEC Directives, IEC Supplement, available at [www.iec.ch/members\\_experts/refdocs](http://www.iec.ch/members_experts/refdocs). The main document types developed by IEC are described in greater detail at [www.iec.ch/standardsdev/publications](http://www.iec.ch/standardsdev/publications).

This IEC Publication includes Code Components, i.e. components that are intended to be directly processed by a computer. Such content is also expressed within this document in textual format and in diagrams in Clause A.2.

The purchase of this IEC Publication carries a copyright license for the purchaser to sell software containing Code Components from this publication to end users either directly or via distributors, subject to IEC software licensing conditions, which can be found at: <http://www.iec.ch/CCv1>.

The committee has decided that the contents of this document will remain unchanged until the stability date indicated on the IEC website under "<http://webstore.iec.ch>" in the data related to the specific document. At this date, the document will be

- reconfirmed,
- withdrawn,
- replaced by a revised edition, or
- amended.

**IMPORTANT – The 'colour inside' logo on the cover page of this publication indicates that it contains colours which are considered to be useful for the correct understanding of its contents. Users should therefore print this document using a colour printer.**

## INTRODUCTION

The concept of Smart energy Grid Architecture Model (SGAM), introduced by the CENELEC-ETSI SG-CG (refer to [1]<sup>1</sup>, [2], [3]) and foundation of IEC TR 63097 [4], has already been disseminated widely as a well-known concept, but there was no official definition. And recently, interactions between Smart Grid systems and heat/gas systems are becoming increasingly necessary. Therefore, an official definition of SGAM and its expansion to potentially include heat/gas systems is needed.

This document aims at providing an official definition of SGAM, associated with a formal ontology described in a textual format as well as with code components. The work is conducted so that generic elements that could be used by different domains are separated from the specific application of the generic elements to the smart energy grid domain.

The SGAM is a three-dimensional architectural framework that can be used to model the exchange of information between different entities located within the smart energy arena. The three dimensions are domains, zones, and layers.

- Domains identify a set of roles associated with five different areas of the energy grid: bulk generation, transmission, distribution, distributed energy resources, and customer premises.
- Zones represent the six hierarchical levels of power system management: market, enterprise, operation, station, field, and process.
- Layers represent the five aspects of information exchanges: business objectives, functional processes, information models, communication protocols, and components.

The primary focus of the SGAM is on interoperability since the exchange of information is the key to the smart energy grid. However, the SGAM can be used for many different purposes involving interoperability, including:

- use cases, by identifying where the various roles, systems, and information exchanges take place within the three-dimensional SGAM structure;
- standards development, by assigning different types of information exchange standards to the areas that they are designed for, which can facilitate a better coordination between entities, solving potential overlap/gaps;
- architectures, by identifying the portions of the three dimensions that are applicable to the architecture of interest;
- system design, by designating the different interactions between different systems within different domains at different layers.

---

<sup>1</sup> Numbers in square brackets refer to the Bibliography.

# DEFINITION OF EXTENDED SGAM SMART ENERGY GRID REFERENCE ARCHITECTURE MODEL

## 1 Scope

This document, which is a Systems Reference Deliverable, defines the framework elements, associated ontology, and modelling methodology for designing the Smart energy Grid Reference Architecture using the Smart Grid Architecture Model (SGAM), with potential expansion to describe the interaction between the grid and heat/gas systems, and including easily understandable examples.

This document also provides a machine level representation of the concepts associated with the SGAM in the form of an ontology provided in the form of diagrams in Annex A, as well as in the form of a code component. Thus, this document is associated with a code component presented as a ZIP file package containing:

- a file describing the content of the package (IECManifest.xml);
- the OWL representation of the ontology of the concepts introduced in this document;
- The same content as the OWL content, but exposed as a series of HTML files, which any browser can open for easy reading.

Considering that such a code component is redistributable (EULA license), and can also evolve, it is accessible to all actors of the supply chain through the IEC website at:

<http://www.iec.ch/syccsmartenergy/supportingdocuments> under the name *IEC\_SRD\_63200.OWL.2021A.Full.zip*.

The latest version/release of the document will be found in the future by selecting the file for the code component with the highest value for VersionStateInfo, e.g. *IEC\_SRD\_63200.OWL.{VersionStateInfo}.Full*.

Finally, compared to past publications related to the SGAM (mostly by CEN-CENELEC-ETSI CG-SEG), this document provides in addition:

- further refinement on main roles, to avoid possible confusions between them;
- extensions for supporting interfaces for other energies;
- a seamless and detailed integration with the IEC 62559 and IEC 62913 series;
- formal representations in UML and OWL ontology formats.

## 2 Normative references

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

IEC 62559-2:2015, *Use case methodology – Part 2: Definition of the templates for use cases, actor list and requirements list*

## 3 Terms, definitions and abbreviated terms

### 3.1 Terms and definitions

For the purposes of this document, the following terms and definitions apply.