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MP167B ‘Review of SEC documents (DCC Internal Systems change governance)’

Annex A

Legal text – version 1.0

About this document

This document contains the redlined changes to the SEC that would be required to deliver this Modification Proposal.

Section A ‘Definitions and Interpretation’

These changes have been redlined against Section A version 31.0.

Add the following definition as follows:

Production Proving Registration Data	has the meaning given to that expression in Section P1.11 (Production Proving Registration Data).
Production Proving Systems	means the Systems used by the DCC in its capacity as the Production Proving Function.
<u>Programme Assurance Policy</u>	<u>has the meaning given to that expression in Section C2.3 (Panel Duties).</u>
Proposed Solution	means the variation under a Modification Proposal that is proposed and can be subsequently changed by the Proposer in accordance with Section D6.15 (Alternative Solutions).
Proposer	has the meaning given to that expression in Section D1.3 (Persons Entitled to Submit Draft Proposals).

Section D ‘Modification Process’

These changes have been redlined against Section D version 9.0.

Add Sections D10.22-27 as follows:

SEC Release Testing Approach Document

- D10.18 The DCC, on request of the Panel, shall produce a document setting out how the requirements of Sections D10.13(d) and (e) will be satisfied (the “**SEC Release Testing Approach Document**”). A SEC Release Testing Approach Document shall be considered as part of the SEC Release Implementation Document for the relevant SEC Release.
- D10.19 The DCC shall ensure that each SEC Release Testing Approach Document sets out the following, as a minimum, in respect of the SEC Release in question:
- (a) the proposed amendments to this Code that are the subject of the testing, an explanation of the associated changes to the DCC Total System, and the testing objective;
 - (b) the testing environments and test phases to be used and how these will be sequenced;
 - (c) the Devices to be used in testing (including the use of emulators);
 - (d) the requirements (if any) for security testing;
 - (e) the requirements (if any) for system capacity testing;
 - (f) details of the testing that shall be undertaken, including the scope of testing and the extent of testing (including negative tests) and the approach to regression testing and End Of Cycle testing;
 - (g) the applicable Testing Issue thresholds and the process by which DCC may propose to exclude Testing Issues from being counted against the Testing Issue thresholds;
 - (h) the process and expected timescales for managing the resolution of extant Testing Issues following completion of a test phase;
 - (i) the entry criteria that must be met in order for a test phase to commence and who approves entry;
 - (j) the exit criteria that must be met in order for a test phase to complete and who approves exit;
 - (k) any key risks (and risk mitigation) identified in respect of the proposed approach to testing;
 - (l) the approach to providing assurance of the testing undertaken;
 - (m) matters to be included in DCC’s test completion reports presented to the Panel; and
 - (n) the requirements (if any) for User testing and for determining any associated test completion.

D10.20 The DCC shall prepare and consult upon each SEC Release Testing Approach Document and any subsequent amendments. The DCC shall report to the Panel on the outcome of each such consultation. The Panel shall review and determine whether to approve each SEC Release Testing Approach Document and any subsequent amendments.

D10.21 The DCC and each person other than the DCC that participates in (or is required to participate in) testing under a SEC Release Testing Approach Document shall comply with the document approved by the Panel (including such amendments as are approved by the Panel from time to time).

Programme Assurance Policy

D10.22 The Panel shall establish and maintain a policy (the "**Programme Assurance Policy**") to govern DCC-initiated projects and programmes that have the potential to impact Users but which do not require a Modification.

D10.23 In the case where the DCC implements a project or programme that has the potential to impact Users (but which does not require a Modification), the DCC shall adhere to the Programme Assurance Policy. For clarity, this may include DCC Internal System Changes.

D10.24 The DCC shall plan and implement DCC projects and programmes in accordance with the Programme Assurance Policy, and shall co-operate with the Panel and provide any and all information reasonably requested by the Panel for this purpose.

D10.25 In developing the Programme Assurance Policy, and prior to making any subsequent change to it, the Panel shall consult with the DCC and have regard to the views of all Parties.

D10.26 The Panel shall ensure that an up-to-date copy of the Programme Assurance Policy is made available to all Parties and is published on the Website.

D10.27 In developing or making changes to the Programme Assurance Policy, the Panel shall ensure that it gives due consideration to the need for the DCC to: (a) comply at all times with the 'General Objectives of the Licensee' (as defined in the DCC Licence); and (b) efficiently discharge the other obligations imposed upon the DCC by the DCC Licence.

D10.28 Should the DCC disagree with the Panel on any changes made to the Programme Assurance Policy (in accordance with the provisions of this Section D10), the DCC may refer the matter to the Authority for determination, whose decision shall be final and binding for the purposes of this Code.