



November 2022 SEC Release Testing Approach Document

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Document Control

Revision Date	Summary of Changes	Changes Marked	Version Number
09.02.22	Initial Draft	n/a	0.1
14/02/22	Removal of CTSD requirements for MP192	n/a	0.2
14/02/2022	Internal Review	Yes	0.3
15/02/2022	Published to TAG 87 (23/02/2022) for Review	No	1.0
15/03/2022	Updated to remove MP192 as out of scope, added MP085a as added to scope. Updated based on consultation feedback	No	1.1
5 April 2022	Update Sections 6.1, 8.2, 9.2.3, and 9.5 following TAG88 feedback.	Yes	2.0
28 April 2022	Update Section 9.2.3 following TAG89 feedback	Yes	3.0
25 May 2022	Update to add Addendum to new document only MPs and removal of CRs no longer in scope	Yes	4.0
14 June 2022	Update to Sections 5.1, 6.2, 9.1.2 for PIT Only approach for CR4117 (SECMPO007)	Yes	5.0

References

Table 1 – References

Ref	Title	Source	Date	Version
1	Glossary of Testing Terms	ISTQB	Mar 2016	3.1
4	November 2022 Release Implementation Document	SECAS	TBC	TBC

Where this document references sections of the Smart Energy Code (SEC), those references shall be construed by reference to any intended future variations to those Sections (and the SEC Subsidiary Documents associated with those Sections) which are due to take effect at the November 2022 SEC Release Go Live.

Abbreviations & Acronyms

This document uses standard testing terminology. In addition, the meanings of abbreviations and acronyms specific to the Smart Energy Code and DCC services and systems are shown below.

This document uses standard testing terminology, a glossary of which can be found on the International Software Testing Qualification Board website www.istqb.org

Table 2 - Abbreviations & Acronyms

Abbreviation	Meaning
ANSO	Application Network Services Operation
APC	Auxiliary Proportional Controller
CH	Communications Hub
CHF	Communications Hub Function
CHTS	Communications Hub Technical Specification
CPA	Commercial Product Assurance
CNSA	Commercial National Security Algorithm Suite
CPL	Central Products List
CR	Change Request
CSP	Communications Service Provider
DBCH	Dual Band Comms Hub
DCC	Data Communications Company
DSP	Data Service Provider
DUIS	DCC User Interface Specification
ESME	Electricity Smart Metering Equipment
ETAD	Enduring Test Approach Document – Appendix J of the SEC
FAT	Factory Acceptance Testing
FOC	Final Operating Capability
GBCS	Great Britain Companion Specification
GPF	Gas Proxy Function
GSME	Gas Smart Metering Equipment
HAN	Home Area Network
HCALCS	HAN Connected Auxiliary Load Control Switch
HHT	Hand-held Terminal
IOC	Initial Operating Capability
IRP	Issue Resolution Proposal
MMC	Message Mapping Catalogue
MOC	Middle Operating Capability
PIT	Pre-Integration Testing
PPMID	Pre-Payment Meter Interface Device
SAPC	Standalone Auxiliary Proportional Controller
SBCH	Single Band Comms Hub
SEC	Smart Energy Code (The Code)
SD	Service Design
SECAS	Smart Energy Code Administrator and Secretariat
SECMP	Smart Energy Code Modification Proposal
SI	System Integrator
SIT	Systems Integration Testing
SMETS	Smart Metering Equipment Technical Specifications
SM WAN	Smart Metering Wide Area Network

Abbreviation	Meaning
SP	DCC Service Provider
SRV	Service Reference Variant
SSC	Security Sub Committee
TAB	DCC's Test Assurance Board
TAD	Testing Approach Document
TAG	SEC Panel's Testing Advisory Group
TTM	Test Traceability Matrix
TTO	Transition to Operations
UIT	User Integration Testing

Glossary

Table 3 defines only terms that are specifically not defined in Table 2.

Table 3 - Glossary

Term	Meaning
DCC Meter Protocol Emulators	Testing Stubs developed by DCC to emulate the functional aspects of smart metering Devices
Devices	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) a Standalone Auxiliary Proportional Controller; and (h) any Type 2 Device.
Go Live	Deployment date of a change in production
Modified DCC Total System	Means the DCC Total System as modified in order to meet (or to be designed to meet) the DCC's obligations under the Code at the November 2022 SEC Release Go Live.
User	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).
Test Stubs	means Systems and actions which simulate the behaviour of Devices and User Systems

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1 Introduction

1.1 General

This is a Testing Approach Document to cover the pending changes that are proposed for implementation in the November 2022 SEC Release. This approach works in conjunction with the SEC Release Implementation Document for the November 2022 SEC Release, in accordance with Section D of the SEC.

The November 2022 SEC Release includes 11 SEC modifications and two DCC Internal System Changes. The changes delivered in the November 2022 SEC Release are outlined in the Scope section of this document.

This document sets out the information required of the SEC Release Testing Approach Document, Section D10.18 - D10.20 of the SEC, including the manner in which testing will be conducted by DCC for the November 2022 SEC Release.

1.2 Approval of this Document

NB: Sections 1.2 and 1.3 confirm the SEC Panel as the authorising authority for this document and any subsequent material changes to it. Should delegated authority be given to the Panel's Test Assurance Group (TAG) for SEC Modifications, these sections will be amended.

- This document shall be produced by DCC, and a draft provided to the Panel's TAG for their review
- In parallel the draft document shall also be issued to SEC Parties for consultation. SEC Parties will have until 4 March 2022 to review and provide feedback via the DCC website. The link to this will also be provided on the SECAS website; DCC shall consider the feedback from these consultations and, where appropriate, will revise the draft document
- The revised draft shall be presented to the Panel's TAG for recommendation to the SEC Panel for an approval decision
- The SEC Panel shall consider the views of the TAG and shall either:
 - Approve the Testing Approach Document

Or,

- Reject the Testing Approach Document and specify to the DCC the areas requiring further work

1.3 Revision of this Document

For SEC Modifications, following approval of this document it:

- Shall be revised by DCC in accordance with any direction to do so made by the SEC Panel
- May be revised by DCC following consultation with the Panel's TAG and, the Panel, provided that:
 - Prior to making any such revision, DCC must present to the SEC Panel a summary of the views of the Panel's TAG and an explanation of how the DCC has taken them into account
 - The document may not be revised to the extent that the SEC Panel directs otherwise
- It may be revised by DCC without consultation where the revision is of a minor typographical nature, or where the revision does not have any material effect on the rights or obligations of SEC Parties or any other person who is entitled to undertake testing in accordance with this document
- Prior to final approval it may be revised without further consultation to remove changes from scope where development and testing has not started and has no impact to the changes which remain in the scope of the release

2 Scope

Table 4 Testing Scope for November 2022 SEC Release

CR #	SEC Modification #	PIT& SIT	Description
4117	SECMP007 Part 2	Yes	Firmware updates to mandated HAN devices - CSP System Changes only (VM02)
4391	SECMP0015	Yes	GPF timestamp for reading instant Gas values
4390	SECMP0056	No	IHD/PPMID Zigbee Attributes Available on the HAN
-	MP085A	No	Synchronisation of smart meter voltage measurement periods
4165	SECMP0099	No	Incorporation of multiple Issue Resolution Proposals into the SEC – Batch 4
-	MP109	No	ADT and Exit Quarantine file delivery mechanism'
4386	MP129	No	Allowing the use of CNSA variant for ECDSA
4176	MP140	Yes	CH Stock Transfer
4242	MP141	Yes	SRV Visibility for Devices on SSI
4472	MP143	Yes	Incorporating IRPs into GBCS v3 series
-	MP160	No	Certificate Signing Request forecasting
	MP167	No	Review of SEC documents
	MP181	No	Meter Asset Provider access to asset related data held by the DCC
	MP186	No	Section D Review (2020): further enhancements
-	MP193	No	Incorporation of Category 3 Issue Resolution Proposals into the SEC – Batch 6
-	DP203	No	Security Assurance of Device Triage Facilities
-	DP204	No	Incorporation of Category 3 Issue Resolution Proposals into the SEC – Batch 8
4427	-	Yes	Implementation of Additional XML Signing Credentials (Enduring Scope)

The November 2022 SEC Release will modify the DCC Total System to accommodate the changes detailed in Table 4, with the exception of the Document Only inclusions.

Changes forecast for this Approach Document

At the time of producing this Testing Approach Document, the exact scope of this release has yet to be determined. For the purposes of drafting this document, all pending changes targeted for this release have been included in assessing the test approach. Following the scope being finalised, the Testing Approach Document will be reviewed and, where the changes are material, the content may be revised.

DCC has been advised of a number of projected document only inclusions expected for November 2022 SEC Release. As these have been advised post TAD approval, all confirmed and expected document only changes have been included in the addendum.

2.1 Documents for November 2022 SEC Release

Table 5 lists the links to the SEC modification documents that were used to create this Testing Approach Document for the November 2022 SEC Release.

Table 5 Referenced Documents for November 2022 SEC Release

SEC modification link	Number
https://smartenergycodecompany.co.uk/modifications/firmware-updates-to-ihds-and-ppmids/	SECMP0007
https://smartenergycodecompany.co.uk/modifications/gpf-timestamp-for-reading-instantaneous-gas-values/	SECMP0015
https://smartenergycodecompany.co.uk/modifications/ihd-ppmid-zigbee-attributes-available-on-the-han/	SECMP0056
https://smartenergycodecompany.co.uk/modifications/synchronisation-of-smart-meter-voltage-measurement-periods/	MP085A
https://smartenergycodecompany.co.uk/modifications/incorporation-of-multiple-issue-resolution-proposals-into-the-sec-batch-4/	MP099
https://smartenergycodecompany.co.uk/modifications/adt-and-exit-quarantine-file-delivery-mechanism/	MP109
https://smartenergycodecompany.co.uk/modifications/allowing-the-use-of-cnsa-variant-for-ecdsa/	MP129
https://smartenergycodecompany.co.uk/modifications/ch-stock-transfer/	MP140
https://smartenergycodecompany.co.uk/modifications/srv-visibility-for-devices-on-ssi/	MP141
https://smartenergycodecompany.co.uk/modifications/incorporating-irps-into-gbcs-v3-series/	MP143
https://smartenergycodecompany.co.uk/modifications/certificate-signing-request-forecasting/	MP160
https://smartenergycodecompany.co.uk/modifications/review-of-sec-documents/	MP167
https://smartenergycodecompany.co.uk/modifications/meter-asset-provider-access-to-asset-related-data-held-by-the-dcc/	MP181
https://smartenergycodecompany.co.uk/modifications/section-d-review-2020-further-enhancements/	MP186
https://smartenergycodecompany.co.uk/modifications/incorporation-of-category-3-issue-resolution-proposals-into-the-sec-batch-6/	MP193

SEC Subsidiary Documents	SEC Appendix
DCC User Interface Specification	Appendix AD
Message Mapping Catalogue	Appendix AF
Definitions and Interpretations	Section A

Out of Scope

The following assurance activities are outside the scope of the testing approach for the November 2022 SEC Release:

- i. Testing of firmware for Meters and Other Devices such as Comms Hubs, PPMID & HCALCS (individual manufacturers are responsible for this activity)
- ii. DCC is not responsible for proving Devices are compliant with SMETS1 and SMETS2 requirements
- iii. Testing of the Home Area Network (HAN) except for:
 - a. Its interaction with the Modified DCC System;
 - b. Where the HAN is tested as part of System Integration Testing and User Integration Testing
- iv. Testing the inter-changeability of Devices connected to the Home Area Network
- v. SECMP0007 Part 3 Comms Hub Development. This will be delivered as part of a subsequent release

3 Governance Approach

The November 2022 SEC Release will follow the governance of a SEC Release outlined in Section D of the SEC.

The November 2022 SEC Release will follow a standard Release Management approach through the B stream environments the following governance will apply:

- PIT will follow the standard governance approach of;
A PIT Exit TAB which would confirm exit of PIT for the DSP, CSP (where appropriate) and the P&C delivery.
Provide approval to move into SIT-B.
This will require multiple deployments from PIT to SIT-B
- Emulator assurance will be completed by the device team, and results presented to TAB for approval prior to deployment into SIT-B
- Parse & Correlate v D5-G4 3.0 PIT results will be taken to TAB for approval before deployment into SIT-B
- SIT will be executed in the SIT B Environment and will follow the standard governance approach of a SIT Exit TAB which would confirm the exit of SIT and provide approval to move into UIT-B / SIT-A
- Route to Live will follow the standard Release Management approach which would see code moved from SIT-B into SIT-A and from UIT-B into UIT-A prior to go live
- SIT Completion will be achieved via approval from TAG and SEC Panel's Change Sub Committee

4 Objectives of Testing

4.1 Testing Objectives

The following testing objectives shall apply:

- a) Demonstrate that the changes brought into the DCC System by the in-scope items conform to the requirements and do not have any adverse impact on the DCC System
- b) Demonstrate that DCC and the component parts of the Modified DCC System and devices compliant with GBCS technical specifications can operate and interoperate with each other, and with User Systems and to the extent necessary that DCC can comply with its obligations for Security and DCC Services
- c) Enable (to the extent that it is reasonably practicable to do so for the November 2022 SEC Release Go Live) Users to test the interoperability of their User Systems with the Modified DCC System together with selected versions of SMETS1 and SMETS2 devices on the CPL or Emulators for November 2022 changes
- d) Demonstrate that Users can continue to successfully install and commission and operate a number of devices on the CPL using the Modified DCC System
- e) Demonstrate that the Modified DCC System can operate successfully within the wider Smart metering ecosystem comprised of multiple Devices operating to different technical specifications in a consistent manner
- f) Test end-to-end communication from an authorised User device and back again for all technical specifications in operation, together with security modules
- g) Verify that all other functional changes that are part of the November 2022 SEC Release are functionally correct including consequential amendments
- h) Assure SMETS2 Single Band Communications Hubs and Dual Band Communications Hubs against November 2022 SEC Release changes
- i) Ensure that the changes do not materially adversely impact the security risks associated with the Modified DCC System, and that any changes impacting security are identified, tested (where necessary), and accepted. Consideration should be given to the security capabilities in the DCC security architecture including the protection of data and infrastructure

In respect of the testing objectives described above:

- a) References to the Smart Energy Code shall be construed as a reference to the version of the Smart Energy Code (including any Subsidiary Documents) which are due to have effect with the November 2022 SEC Release

5 Testing Approach

This section describes the testing approach for each testing phase, provide a release timeline, detailed overview of the changes in the release, device selection and an environment usage overview.

5.1 High Level CR Detail and Test Approach

The elements below form the high-level areas of change which will be applied in the November 2022 SEC Release are:

- DUIS uplift to version 5.1¹
- MMC uplift to version 5.1
- Changed DSP functionality introduced as part of November 2022 SEC Release to support New Technical Specifications updated as part of the November 2022 SEC Release (GBCS 4.1, SMETS and CHTS)
- Parse & Correlate version D5-G4 3.0 will be introduced which will be backward compatible with and will parse to DUIS v3.0, v3.1 & v4.0 as well as DUIS v5.0

The Functional Heatmap will be provided and added to Appendix A when available. This will detail the SRs, SRVs, Alerts and other scenarios which will be tested for the changes in the November 2022 SEC Release. Below is a summary of the specific detail for each change and the high-level view of testing of November 2022 SEC Release new functionalities:

SECMP0007 (CR4117/4374). Part 2 is delivering CSP Infrastructure impacted changes in reporting for CSP Central and South which supports the increased demand for Firmware Update Service Requests and associated processing from DCC Users.

CSP Central and South will deliver the following:

- SM2M Changes:
 - Admission Load Control Functionality upon receiving SD4.4.2 firmware Upgrade request, Smart m2m to assess the system load. In the event the load exceeds supported levels, Smart m2m notifies DSP with a 'Service Busy' response in the Firmware Validation report.
 - VirginmediaO2 Device Manager Billing Report changes to include the device type parameter changes
 - VirginmediaO2 Device Manager Day 0 and Day 4 Reports with the device type parameter changes to be used by the VirginmediaO2 IT systems to calculate the PM2.1 and PM2.2 performance measures for each HAN Device firmware upgrade request.
 - New trap to track the CH to HAN transfer (across ESME/GSME/HCALCS/PPMID) will be generated by CH and sent to Azure directly via SM2M

¹ As MP192 is no longer in scope DUIS will remain as 5.1.

- OSS Reporting (PM2 changes)
 - Modification of the jobs to handle updated Day 0/4 and traps details
 - Expanding the scope of Performance Measure to include the delivery of the PPMID and HCALCS firmware.
 - Modification to the existing Performance Measure Reports to include the firmware delivery to HCALCS other than ESME, GSME.
 - New Performance Measure Report to include the firmware delivery to PPMID.
 - Inclusion scope for both PMs to measure all DSP jobs accepted post validation report stage.
 - Changes to measurement criteria to determine successes first and not to overwrite successes with exceptions and failures. Apply exemptions only on failures.
 - Include additional service reporting exemptions only for failures to include the following scenarios:
 - VirginmediaO2 is unable to deliver firmware to PPMID due to an in-progress delivery of firmware
 - Firmware Image data integrity issues. The Communication Hub performs integrity check on the firmware image downloaded over SMWAN.
 - VirginmediaO2 being unable to deliver firmware due to firmware storage prioritisation
 - Invalid CHSU/No CHSU
 - Creation of detailed reports (Month to Date and Monthly) and summary reports to include the PM2.1 for Meters/HCALCS and PM 2.2 reporting for PPMID from Business Objects.
 - Changes to BI MI file to include PM 2.1 and PM 2.2
- Managed File Transfer (MFT)
 - Structural validation on the Managed File Transfer (MFT) jobs involving Day0 and Day4 reports to handle the modified Day 0 and Day 4 file format.
- Netcracker
 - Modification to include additional event types in the DMM billing extract.
 - Modification to the validation process as part of the Smart m2m billing interface
 - Service Level Management (SLM)
- Introduction of PM 2.1 and PM 2.2 and target SLAs

As agreed by TAG90, all testing of this change will be completed in PIT.

Part 2 from CSP North was delivered as part of June 2022.

SECMP0007 Part 3. This is expected to be delivered in later releases due to the unavailability of GBCS v4.1 compatible devices (mainly CHF's) along with further infrastructure modifications:

- New Device Alerts from Comms Hubs to provide notification of success/failure of HAN transfer
- Comms Hub firmware changes to support PPMID and HCALC firmware distribution and activation
- New DCC Alerts to notify Service User of Comms Hub Device Alerts and PPMID Device Alerts

SECMP0015 (CR1417)

This CR enables the DCC Systems to implement changes to support Service Users and Devices reading the instantaneous values from the GPF to know the time on the GSME's clock when the value is provided.

The DCC systems shall implement changes to support Service Users and devices reading the instantaneous values from the GPF to know the time on the GSME's clock when the value was provided.

This modification will also allow In Home Displays (IHDs) and Pre-Payment Interface Devices (PPMIDs) to determine and display the time of the last updates.

Testing will include ensuring that the GPF and GSME Mirroring functions display the correct GBCS use case and message responses are updated as follows:

- GCS13a Read GSME Consumption Register
- GCS13b Read GSME Block Counters
- GCS13c Read GSME Register (TOU)
- GCS14 Read GSME Prepayment Register(s)
- GCS60 Read Meter Balance for GSME, is replaced with GCS60a

The DUIS/MMC document changes associated with this Modification have previously been designated and implemented as part of June 2022 SEC Release.

SECMP0056 (CR1412/CR4390)

This CR will include Device Technical Specifications are updated to make additional Zigbee Attributes available to In-Home Displays (IHDs) and Prepayment Interface Devices (PPMIDs) on the Home Area Network (HAN) to enable them to delete stored consumer consumption data when notified of a Change of Tenancy (CoT).

This is expected to be a *document only change* to the legal text, and will not have a functional impact until a later date post November 2022 SEC Release.

MP085A

This CR enables the Synchronisation of Smart Meter Voltage Measurement Periods.

This is a document only change and does not impact DCC Systems.

This is a Technical Specifications document change for meter Manufacturers to ensure a predictable approach for when newly manufactured Devices commence average RMS Voltage Measurement Period readings.

MP0099 (CR1297/4165)

This CR is incorporating multiple issues Resolution Proposals into the SEC – Batch 4, namely IRP571 and IRP586. The Device Technical Specification updates are:

IRP571 'Historic Data when Device does not know the time'.

- To avoid the risk of sharing historic data with other Home Area Network (HAN) Devices, that may relate to a prior tenant, the proposed drafting is that the Gas Proxy Function (GPF) and Electricity
- Smart Metering Equipment (ESME) should not share historic data from this store with other HAN.

IRP586 'Modify use cases so ESME GSME & GPF behave in the same way (exclusion options)'.

- Updates to GBCS so that ESME, GSME & GPF all respond in the same way

This is expected to be a *document only change* to the legal text, and will not have a functional impact until a later date post November 2022 SEC Release.

MP129

This change is to implement a *document only change* to GBCS to Allow the Use of (Commercial National Security Algorithm Suite) CNSA Variant for ECDSA (Elliptical Curve Digital Signature Algorithm) when applying Digital Signatures to meter communications.

MP140 (CR4176)

This CR enables the DCC Systems to implement changes to provide a means of allowing SEC Parties to exchange Comms Hubs between themselves directly, rather than returning them to the DCC.

Testing will ensure that CH Stock transfer notification within Self Service Management Interface (SSMI) will be available, have the correct data and will be processed with the correct status.

MP141 (CR4242)

This CR enables DCC Systems to implement changes to allow all Responsible Suppliers and Network Operators to have full visibility of all the SRVs and Service Responses sent by any User for Devices they own or have a certificate placed on, via the Self-Service Interface (SSI). This will use Service Audit Trail (SAT) data, which will not breach General Data Protection Regulation (GDPR), to access the list of SRVs and Service Responses.

Testing will ensure Self Service Interface (SSI) allows Supplier parties and Network Operators the ability to view Service Request titles for the devices they own and the corresponding Service Responses from the Device. This detail will only be visible via the Service Audit Trail Data screen.

MP143 (CR4472)

This CR is incorporating five Issue Resolution Proposals (IRP589,596,623,631 and 642) into the GBCS version 3 series, to create a new GBCS v3.3. This new GBCS version enables Device Manufacturers to remain compliant with the Commercial Product Assurance (CPA) scheme.

DCC Comms Hubs are not expected to need to support or be compliant with the new GBCS v3.3. Any Comms Hub upgrade path will be from GBCS v3.2 to GBCS 4.1 directly.

Testing will ensure Service Request have been mapped to the relevant GBCS use cases for GBCS 3.3. Incidentally these will be the same mappings as GBCS 3.2.

Testing will utilise a dummy GBCS 3.3 CPL to support the expected outcomes.

MP193

This change is incorporating Category 3 Issue Resolution Proposals into the SEC – Batch 6.

- IRP634 / IRP642 / IRP644
- Any other Category 3 IRPs that are agreed by TSIRS prior to April '22

This change is not impacting DCC Systems but is updating DCC Tech Spec wording changes for GBCS/SMETS/CHTS) for November 2022 designation versions.

This is a document only update.

CR4427

This CR enables the DCC Systems to implement a series of changes across its Systems and Service Providers to ensure compliance with a recent SEC change in relation to the use of XML signing certificates. This change has been raised to implement the use of these new credentials across DCC systems outside of the required ones for ECoS implementation.

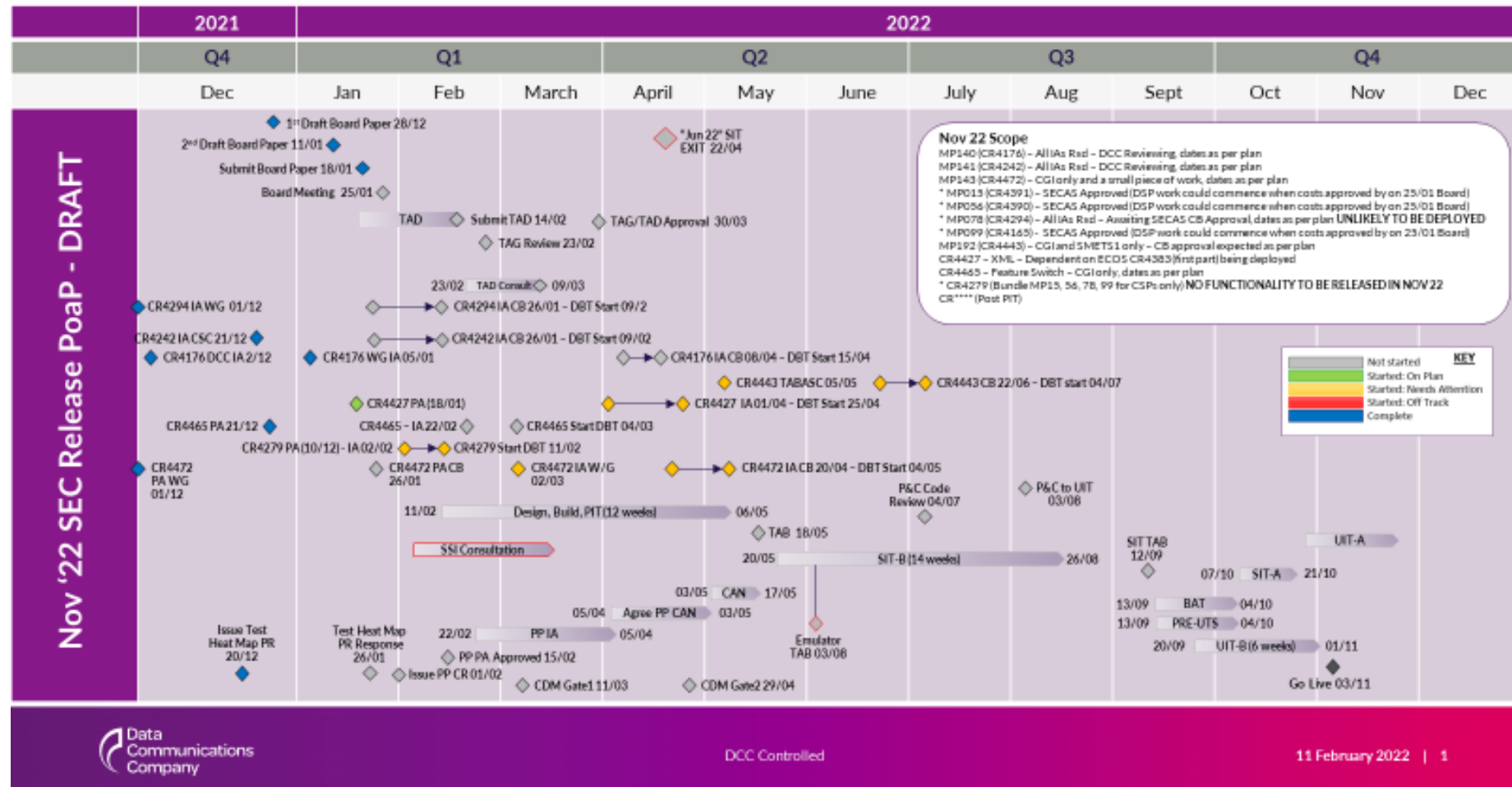
This change will modify the relevant sections of the GBCS so that it clearly shows that the CNSA (Commercial National Security Algorithm Suite) variant for Critical Command signing is permitted for use for Parties. The CNSA variant will be permitted for use along with the ECDSA, but it will not replace it. As a result, no changes are being made to the DCC Systems to support this additional GBCS text for this clarification.

Testing will ensure the additional remote party roles will be introduced across the various impacted interfaces between the SPs.

5.2 High Level Plan

A high-level final plan as of 18 January 2022 is shown below. The plan is separate to the Test Approach Document, and TAG will be advised of any material changes.

Nov '22 SEC Release PoaP - DRAFT



Device Selection

The DCC shall recommend which of the existing devices that are in use in production shall be employed to test the November 2022 SEC Release against.

Emulators will be used for changes which require DUIS v5.1², GBCS v4.1 or SMETS2 devices as outlined in this Approach Document for November 2022, and where real devices are yet to be available in the CPL or the EPCL. In addition, DCC will test already migrated SMETS1 Device sets to support SMETS1 testing.

The DCC shall notify TAG which Devices it recommends using during the testing of the November 2022 SEC Release against. Where TAG believe that a Device has been wrongly excluded, they should notify the DCC within five [5] working days setting out the reasons for objecting as per the existing terms of reference. If the document is available for publication earlier, DCC will submit to the TAG chair for distribution to TAG members. DCCs expectation is that TAG will review the documentation prior to discussing it during the meeting. If there are any objections the DCC shall respond to the objection within three [3] working days of the meeting. Should the DCC and TAG continue to disagree on the exclusion of a device, then the decision will be referred to the SEC Panel for determination. The SEC Panels decision will be binding.

5.3 Description of Test Phases

The November 2022 SEC Release changes will be delivered using waterfall delivery methodology. The approach to testing of the November 2022 SEC Release will include defined Test Phases. Table 7 contains the Test Phases / Stages, mandatory or not, organisations involved to deliver and environments to be used.

² As MP192 wasn't approved DUIS will remain at 5.1.

Table 6 – Glossary of Phases and Stages

Test Phase	Test Stages	Mandatory (Y/N)	Organisation Involved	Environment Used
PIT	System Test (to include FAT)	Y	DSP DCC	PIT
CSP C&S PIT	System Test (to include FAT)	Y	CSP C&S DCC	CSP C&S PIT
SIT	Solution Test (using Devices/Appropriate Firmware for devices)	Y	DSP CSP DCC	SIT-B
	Solution Test (using Emulators)	Where Devices / Appropriate Firmware are not available)	DSP CSP DCC	SIT-B
	Solution Test Regression	Y	DSP CSP DCC	SIT-A
UIT	UIT Proving/PreUT	Y	SI DCC	UIT-B UIT-A
	User Test	N	•Users •DCC	UIT-B
	User Test	N	•Users •DCC	UIT-A

The Test Phases are as follows:

- The Pre-Integration Test (PIT) phase covers the testing by DCC Service Providers, undertaken individually, to verify that the solution meets the requirements. In this case it will be the DSP only aspects of the changes in scope for November 2022.
- The CSP Pre-Integration Test (PIT) phase includes the testing by Communication Service Providers, undertaken individually, to verify that the solution meets the requirements. In this case it will be the CSP C&S changes in scope for November 2022.
- Capacity Testing covers testing by DCC Service Providers to verify that the solution does not have any detrimental impact on performance and capacity
- Systems Integration Testing (SIT) confirms:
 - Solution Testing by DCC Service Providers collectively, to verify the end-to-end functionality using devices and where not available, emulators. It also confirms interoperability between the modified DCC System and existing devices in production
 - Service Provider System Integration Testing to initiate the Quality Gate Review for exiting the SIT phase
- User Integration Testing (UIT) allows Users to test their systems and devices with the Modified DCC System before changes are made available in the production environment.
 - UIT Proving/PreUT will be completed following code deployment into the UIT environment to test the CR changes and regression testing the UIT environment. The critical aspects of this testing will be completed ahead of opening up the service to Test Participants
 - For the November 2022 SEC Release, Users with devices deployed in Production will be invited to undertake testing of their DUIS systems against the Modified DCC Solution and to self-certify the results of this testing to the DCC.

- Users will be invited to complete regression testing before moving to the new schema for November 2022 SEC Release

There will be multiple drops of code from PIT into SIT. Regression testing will commence after the final drop.

5.4 Delivery of Test Phases and Stages

The execution of the testing to support the November 2022 SEC Release will be undertaken in appropriate test environments as per Table 6.

The Test Phases and Stages to support the November 2022 SEC Release will be subject to the DCC quality gating process including the DCC Test Assurance Board (TAB).

The SI will manage the usage of environments (except DSP PIT). Should there be any contention in resources this will be escalated to the DCC for determination and any impact notified to Test Participants.

It is expected the CSPs will manage the deployment of code into their own PIT environments, and the SI will co-ordinate the activity from the CSPs and DSP into SIT.

6 Test Phase Activity Description

This section of the November 2022 DCC Testing Approach Document defines the testing activities and assurance requirements for individual Test Phases.

The provision of the testing deliverables detailed in section 8 of this document shall ensure that these requirements and focus areas are suitably covered by each DCC Service Provider and each Test Phase and are assured accordingly. All requirements and deliverables for each phase shall ensure that the test objective is met.

6.1 Requirements & Focus Areas for Pre-Integration Testing

The PIT Phase for the November 2022 SEC Release is required to provide assurance of the quality of the Service Provider solutions early in the development cycle.

As an overall requirement, any and all testing which can be reasonably and cost effectively undertaken prior to SIT should be undertaken in PIT. Should any testing initially planned for the PIT Phase prove to be untestable during that Test Phase the test(s) will be added to the scope of testing to be conducted during the SIT Phase. Any such movement will be reported to TAG.

For the November 2022 SEC Release all changes will be delivered and tested in PIT for the DSP. Testing will include the feature switches for all changes both on and off.

It is expected for November 2022 SEC Release the CSP changes to the infrastructure changes in support of SECMP007, will be delivered and tested in their own PIT environment. Where the CSPs are unable to complete FAT testing in PIT, due to the absence of adequate stubs/harnesses not being available, FAT testing will be executed as part of SIT.

Table 7 PIT Requirements

Ref	Requirement
PIT.1	DCC Test Assurance will perform assurance activities in PIT across all activities except unit and link testing, as subsequent activities within PIT provide assurance of outputs from those tests
PIT.2	DCC Service Provider PIT shall include performance testing of the Modified DSP solution
PIT.3	DCC Test Assurance shall review the PIT test cases for the DSP, where used, for appropriateness and to ensure functional coverage
PIT.4	DCC Test Assurance shall review the PIT test cases for the CSP, where used, for appropriateness and to ensure functional coverage.
PIT.5	DCC Service Provider PIT shall cover all functional areas impacted for testing the November 2022 SEC Release
PIT.6	DCC Service Providers shall produce and maintain the PIT approach document, the System and FAT plan, test completion reports and Work off Plans
PIT.7	The CSPs shall produce and maintain their PIT approach document, the System and FAT plan (where applicable), test completion reports and Work off Plans.

6.2 Requirements & Focus Areas for Systems Integration Testing

SIT for the November 2022 SEC Release shall be planned and based on successful testing in PIT. It shall confirm the successful integrated operation of the Service Provider solutions and shall support delivery of final, assured code for User testing.

For the November 2022 SEC Release only CR's 4069, 1397 and 1341 will be tested in SIT fully. CR4117 Part 2 will also be tested in SIT fully, however, a breakdown of CR4117 is detailed below.

CR4117 will be partially tested based on the scope of initial changes that will be available in November 2022 which mainly aligns to updated DUIS v5.2 implementation (DCC Alerts supported by DSP) and regression testing of the firmware distribution tracking for ESME/GSME Devices. As agreed at TAG90 this CR will be tested in PIT only due to the lack of GBCS 4.1 devices available.

Note: The updated CSP solution will be tested against current production versions of the Communication Hubs, which is expected to be GBCS 3.2 and back ie 2.1. This is due to GBCS v4.1 devices are not yet available.

Similar to the June 2022 SEC Release, the remainder of the changes that fully complete and support the E2E processing parts of CR4117 that go beyond the DSP systems for PPMIDS & HCALCS will remain behind a feature switch which will be activated once the CSP solutions (including Comms Hub updates) are implemented as part of subsequent releases. The Test Phase for this release will test the E2E delivery of firmware images to the PPMID / HCALC devices, bring in additional Comms Hub Device Alerts passed back to Users as DCC Alerts and also extend the firmware distribution tracking to include these additional device types.

NB: CR1408/CR4374 will be tested across 4 parts, with different functionality and expected outcomes based on scope of changes implemented. There will be further separate test approach documents; this document for November 2022 (Part 3 CSP Central and South), and further changes in subsequent releases, mainly additive in nature but some repeat tests, and those already delivered in Part 1 for the November 2021 SEC Release. Each part will have different outcomes expected based on updated functionality implemented.

The SI shall produce a SIT Approach Document detailing the testing to be undertaken during this Test Phase. This document shall be reviewed and assured by the DCC and shall be shared with the Panel's TAG for information with the Test Completion Report.

6.2.1 Testing in SIT

Table 8 SIT Requirements

Ref	Requirement
SIT.1	Regression testing will start following the final drop of code into the SIT phase. If issues are found after End-of-Cycle (EOC) testing, and fixes applied prior to Test Phase Completion, then further targeted regression testing will take place
SIT.2	2 EOC runs for November 2022 changes will be executed following SIT functional testing completion
SIT.3	SIT will be undertaken using scenario testing and will ensure that Service Requests are validated for the correctness and consistency of content, alongside the correctness of formatting
SIT.4	SIT coverage will be proved using a test traceability matrix. This will be used to report the SIT progress
SIT.5	SIT will be designed to make use of automation where practicable to improve testing throughput rates
SIT.6	SIT will use agreed devices available in CPL and/or EPCL to perform the Service Request testing
SIT.7	SIT will include verification of the correct operation of all interfaces in DCC Systems
SIT.8	SIT will include verification that the correct end-to-end data is contained in all relevant DCC enterprise system produced report feeds
SIT.9	Where SIT makes use of the DCC SIT and UIT Emulator, testing must include emulator configuration to provide valid data in a Service Response. A blank / null response cannot result in a passed test. The response must include valid data that can be successfully parsed and, where relevant, decrypted, to prove the response data received is as expected based on the emulator configuration for that test
SIT.10	SIT will ensure agreed selection of Devices and Emulators are installed and commissioned in the test environment prior to the deployment of the changes, then deploying the code and carrying out regression testing of the existing functionalities only for backwards compatibility

6.2.2 Service Provider Witness Testing in SIT

The SIT Phase includes Witness Testing which allows DCC to witness an agreed subset of the tests carried out in SIT.

The DCC Systems Integrator will provide DCC with a schedule of when and where tests will be executed and invite DCC to witness either on-site or via video conferencing where appropriate giving at least 1 Working Days' notice should there be a change to the agreed schedule.

Witnessing of the test execution, or reviewing evidence of executed tests, will adhere to three key rules;

1. There will be no deviation from test scripts
2. There will be no hands-on execution by witness
3. Where a gap in testing is witnessed, this will be recorded as an observation for further testing

Witness Testing will be reported to DCC before SIT exit on test completion, test failures and test pass rate as part of SIT Testing.

6.3 Requirements & Focus Areas for User Integration Testing

UIT Proving / PreUT is expected to complete prior to the User testing window opening. To make effective use of time and reduce the timeline between SIT TAB exit and the User Testing window opening, DCC may look to split UIT Proving / PreUT activity into high and low priority. With high priority tests needing to be completed prior to opening of the User Testing window and lower priority running in parallel. Should any unplanned delays impact the start of UIT Proving / PreUT User Testing window will be maintained by running UIT Proving / PreUT in parallel. The provision of User Integration Testing (UIT) environments (UIT-A & UIT-B) and associated services is part of DCCs ongoing activities, this section describes the specific requirements and focus areas for the November 2022 SEC Release.

DCC shall provide a Testing Window (User Testing Window) that allows Users to test the interoperability of its User Systems and Devices (or Emulators where needed) with the Modified DCC System (including via the Self-Service Interface). The UIT environment shall be made available in accordance with the Enduring Test Approach Document (ETAD)– Appendix J of the SEC

There will be a 6-week period between the completion of SIT and promoting functionality to live operations where Users will be asked to volunteer to demonstrate that they can successfully operate the new November 2022 SEC Release functionality prior to the release going into production. Users can also carry out User Regression Testing to demonstrate that the November 2022 code does not adversely affect their existing production service.

Should DCC need to reduce the 6-week UIT period, then DCC will present its proposal and rationale to TAG for its endorsement. Where TAG endorses DCC's proposal, then the reduced period shall be adopted. Where TAG and DCC disagree on the duration, then the matter shall be referred to the SEC Panel for determination. Where a reduction to the planned 6-week period is agreed, this shall be promptly communicated to Test Participants.

Table 9 UIT Requirements

Ref	Requirement
UIT.1	UIT will enable Parties to test the November 2022 SEC Release functionality up to a 6-week window.
UIT.2	UIT will be planned for Parties to be able to test against their systems and devices ahead of the Release "Go Live"
UIT.3	The deployment of releases into UIT will be subject to specific entry criteria to ensure minimal risk of disruption to ongoing participant testing in the environment
UIT.4	UIT shall include the capability for Users to verify their end-to-end data is operating correctly over DUIS
UIT.5	Volunteer Users with Devices deployed in Production are asked to confirm whether they intend to test and also what they intend to test ie Regression, new functionality, and impacted SR's, during the UIT window at least 20 Working Days prior to its start and agree to complete testing within the time frame given.

It is noted that DCC maintains its obligations to provide and support an integrated environment for the purposes of User Testing, which includes ongoing assurance of the

provision of DCC Test Lab and Remote Test Labs used within UIT and demonstrating that the UIT environments are secure.

6.4 System Capacity Testing

System Capacity testing requirements have been assessed for the November 2022 SEC Release and as the changes in this release do not materially impact the use of the DCC Total Systems it is deemed that System Capacity testing is not required.

6.5 Security Testing

DCC security considers security functional testing and assurance of controls as a shared responsibility between the software developer and the ANSO provider.

DCC requires an appropriate level of security assurance for entry into each test environment.

Positive testing of security functional controls is met as part of normal SIT functional testing.

As accepted and agreed with SSC, PIT can be utilised to complete specific negative tests as defined if necessary. All SPs have as part of their TTM's, test conditions mapped to SIT.

The DCC approach considers the risk model, good practice and the obligations laid out in SEC Section G2.13:

“The DCC shall ensure that an organisation which is a CHECK service provider carries out assessments that are designed to identify any vulnerability of the DCC Systems to Compromise:

- (a) in respect of each DCC System, on at least an annual basis;
- (b) in respect of each new or materially changed component or functionality of the DCC Systems, prior to that component or functionality becoming operational; and
- (c) on the occurrence of any Major Security Incident in relation to the DCC Systems”

Scope of Security Testing covers:

P&C D5-G4 3.0	Application Security test (Code Review)
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6.6 Requirements and Focus Areas for Transition to Operations Testing (TTO)

This section is added for information only and does not form part of any Exit Criteria for PIT or SIT.

The TTO Test Phase may include Business Acceptance, Operational Acceptance, and Security related requirements as focus areas to transition the November 2022 SEC Release solution to operations. TTO Testing shall focus upon the service management processes as SIT will have tested technical end-to-end functionality. Support from the DCC Systems Integrator and CSPs is required to carry out internal and external testing as part of TTO Testing.

The above TTO activities will be tracked by the Service Transition Manager who will be responsible for ensuring they are completed as part of the Operational Acceptance activities, supported by specific Service Acceptance Criteria specified by the impacted Operations team. Where the delivery of TTO activities sit outside of Operations, the Service Transition Manager will work with the programme to identify the accountable person for delivering the required level of assurance that the TTO activities have been completed to the required level of satisfaction. The Service Transition Manager will track and ensure the activities are completed in line with the agreed Service Acceptance Criteria as documented in order to meet Operational Assurance.

7 Test Activities

For each mandatory Test Phase, the following activities will be performed;

- Prepare and maintain Solution Test Plans
- Implementation of the testing infrastructure
- Test Phase planning
- Identification of appropriate test scenarios
- Design of test scripts
- Produce a test specification document
- Produce a test traceability matrix, or equivalent
- Design and preparation of test Data, including loading of test Data into the test environment
- Preparation of a test execution schedule
- Execution of testing
- Performance quality gate reviews
- Test issue management
- Test issue resolution
- Release management
- Configuration management
- Test progress reporting
- Production of a Test Phase Completion Report
- Test assurance of third-party components
- Definition and execution of a Work off Plan
- Test metrics collected for each test run, execution time, triage cycle time and daily volume report for Test Assurance

7.1 Test Method

For the November 2022 SEC Release, DCC is seeking to further improve testing throughput. By making more effective use of automation in SIT and extending the SMETS1 automation solution to encompass SMETS2 functionality DCC are aiming to increase throughput and regression coverage. DCC shall also seek to measure the effectiveness of the use of automation in SIT across releases by collecting metrics that quantify the coverage and efficiency of automation throughout the overall test pack, which will include both functional and regression tests. More detail will be provided in the SIT approach document, including reporting to demonstrate that expectations around the use of automation have been met.

For manual and automated testing, DCC shall use scenarios that based on DCC SMETS 2 Business scenarios in addition to existing SMETS1 testing. The supporting test phase approach documents will specify the detailed testing methodologies employed in each test phase.

Test design for November 2022 SEC Release will have the following critical areas for testing.

- Devices are installed and commissioned in the test environment prior to the deployment of the changes, then deploying the code and carrying out regression testing of the existing functionalities only for backwards compatibility
- Devices can be installed and commissioned and can operate as per the requirement using the changed code
- Changes introduced as part of the November 2022 SEC Release are working as per the requirement

Priority, within the design of testing for the November 2022 SEC Release, shall be on the changes introduced by the scope of the Release, and on the functionality and Service Requests that are considered to be of highest risk to Users in the production system and on validating there is no adverse effect on the existing devices in the DCC system. These will be derived from the heat map and the TTM.

Testing will cover both functional and non-functional aspects of the dynamic interaction between solution elements and shall cover, to an agreed level, of the DCC service request variables – User Role, Command Variant, and mode of operation. Where a changed interface is to be tested, all associated or impacted interfaces shall also be tested. Similarly, testing should account for all elements of the Modified DCC System, for example the internal DCC-Enterprise components that support billing and reporting.

In general, testing with combinations of real devices will form the basis of a default test setup. Testing with emulators, which are yet to be introduced into the CPL or EPCL, in SIT shall in general only be conducted where devices are unavailable to be tested. Where testing makes use of the SIT emulator necessary, testing shall include emulator configuration to provide valid data in a service response. Where new emulator functionality is required, the device will be subject to testing and assurance.

In relation to the design of testing for SIT, consideration has been given to the coverage of DUIS and how testing between regression and new elements is balanced across the interfaces and Communications Hubs types and CHTS versions.

7.2 Test Scenarios

Test scenarios may, within the context of the individual Test Phases, be represented by defined sequences of Service Requests and/or other relevant activities.

Each Test Phase will define test scenarios as a deliverable as appropriate, but as a minimum the definition of test scenarios will include:

- Description
- Responsibility for development
- Type (Normal, Exception, Alternative)
- Pre-requisites
- Test conditions
- Verification method
- Traceability to requirements (or use case for DSP PIT)
- Test variations – User Roles, Communications Hub, mode of operation, Command variant, Device, DUIS and GBCS versions

The definition of Test Scenarios for SIT shall include and consider:

- Key common scenarios that will be experienced by the Parties in production
- A relevant subset of scenarios (or Service Request sequences) to reflect Network Operator Party use cases

DCC will review testing progress with Parties at the DCC monthly testing forum – the Testing Design and Execution Group (TDEG).

Test Scenarios may be updated to take account of activities from live operation, subject to suitable change controls.

Test scenarios must cover exercising all interfaces in DCC Systems in an end-to-end manner verifying functionality as well as that data is reported correctly.

Where emulators are needed to be used, test scripts should define the required emulator configuration to provide valid data in a Service Response.

7.3 Regression Testing

All new releases of any element of the solution from every DCC Service Provider will be subject to completion of a successful regression test prior to being accepted into subsequent Testing Phases and environments.

The following requirements for regression testing shall apply:

- SMETS2 Regression Test Coverage will include the following as a minimum:

Note: the GBCS indicated by * will be tested if available. If this is not available, then GBCS 2.1 (CHTS1.1) will be used as an alternative. This is indicated in Table 10 below.

Note: for the PPMID (v8.2) which was used across June 2022 will also be used for November 2022. This is equivalent to S2v2 GBCS 1.0.

Table 10 – Regression Testing Devices

DUIS	P&C	CH/MMC	Devices
5.0	5.1	GBCS 3.2CH* (CHTS1.3)	S2v4.2
5.0	5.1	GBCS 2.1CH SBCH/DBCH	S2v4.2
5.0	5.1	GBCS 2.1CH SBCH/DBCH	S2v3.1
4.0	5.1	GBCS 3.2CH* (CHTS1.3)	S2v4.2
4.0	5.1	GBCS 2.1CH SBCH/DBCH	S2v4.2
4.0	5.1	GBCS 2.1CH SBCH/DBCH	S2v3.1
3.1	5.1	GBCS 3.2CH GBCS 2.0CH	S2v3.1

- Regression will cover Critical Business Scenarios and Impacted SR's
- SMETS1 Regression Test Coverage will include the following:
 - Each DMC will be tested
 - Functionality will be tested across a set of DMCs
- Regression will include IOC, MDS & MOC Secure, and FOC
- Wherever practicable, regression testing will be automated
- Regression testing will start following the final planned deployment from PIT for SMETS2 and SMETS1
- The full regression test approach for each phase will be outlined in the Regression Heat Map and described in each detailed Test Plan Document
- The scope of regression, where appropriate, is permitted to be risk-based with regard for combinations of User Role, command variant etc. The exact scope of regression shall be defined in the detailed Test Plan Document for each phase
- If risk-based regression testing is used within a Test Phase, as a minimum it should include key Service Requests. The key Service Requests will be derived from the heat map and TTM. This will then be discussed and agreed between DCC and Users
- The Regression Test Pack (test scripts, test data and documentation) will be available to the DCC during the test phase within ALM, with any agreed omissions being rectified promptly
- Regression testing for SIT shall be completed using real devices that are used in production and available in the CPL

8 Deliverables

DCC will follow the testing documentation practices established for earlier releases. These are described at a high level in this section, and specific enhancements and requirements for the November 2022 SEC Release are highlighted.

8.1 By Test Phase

Various deliverables will be produced for each Test Phase. The Test Phase Approach Documents will detail the deliverables required for the individual Test Phase.

The author for individual Test Phases will create the deliverable, which will be subject to the established governance processes. Below is a list of responsible teams for various test phases.

- PIT – DSP
- PIT - CSP
- SIT – DCC Systems Integrator
- TTO – DCC

Table 11 describes the generic content and anticipated timing of the deliverables that may be required to be produced for each Test Phase

Table 11 – Deliverables

Deliverable	Description	Test Phase	Timing
Detailed Test Plan	Describes the relevant test phase: the activities, participants, resources, roles and responsibilities, assurance requirements, reporting, success criteria, and other information relating to the execution of the Test Phase. Where relevant, the Test Phase Approach Documents shall also define the entry and exit criteria, and the basis of any risk for regression	PIT SIT PreUT	Following any review cycles, a final version shall be submitted to DCC by the relevant DCC Service Providers including Communication Service Providers no later than [10] Working Days before the commencement of test execution.
Test Specifications	Test Traceability Matrix, Test Scenarios and Heatmap	PIT SIT	To be provided to DCC by DCC Service Providers including Communication Service Providers no later than [10] days before the commencement of test execution

Deliverable	Description	Test Phase	Timing
Test Results	Details may vary by Test Phase – report content and frequency will be defined by the Detailed Test Plan	PIT SIT PreUT	Made available by DCC Service Providers including Communication Service Providers for review by DCC throughout test execution
Test Issue Log	Outstanding Testing Issues	PIT SIT PreUT	Made available by DCC Service Providers including Communication Service Providers for review by DCC throughout test execution
Regression Test Pack	A Regression Test pack is a set of test cases run to ensure the core product remains unaffected by new feature additions.	PIT SIT	Access granted to DCC by DCC Service provider including Communication Service Providers to review beforehand and monitor throughout
Test Phase Completion Report	Will follow the format and content established for earlier DCC releases, and will include; • Overview of testing undertaken • Actual number of tests run, passed, failed, and not run • Explanation of any tests not run • Test issue I.D. detail for failed tests • Number of test issues outstanding, split by severity • Number and severity of test issues raised • Explanation of any Testing Issues which have not had retests associated • Specification of test environment used • Recommendations for tests to be included in the next Test Phase • Lessons learnt during the Test Phase	PIT SIT PreUT	DCC will work closely with the DCC Service Providers including Communication Service Providers during test execution window to ensure the completion report is issued on the final day of testing.

Deliverable	Description	Test Phase	Timing
Test Scenarios	Shall comprise of planned and sequenced series of Service Requests.	PIT SIT	To be available from DCC Service Providers including Communication Service Providers at the same time as the finalised Solutions Test Plan
Work off Plan	A plan to resolve (fix, retest and close) outstanding issues. Once the fix is made available, retesting of the issue should be completed within [5] Working Days.	PIT SIT PreUT	To be provided to DCC by DCC Service Providers including Communication Service Providers with the final Test Stage Completion Report.

8.2 Requirements Traceability

The DCC will provide a Requirement Traceability Matrix (RTM) detailing the requirements for each change. This will be provided to the SI. The test teams will use this RTM to generate the required Test Traceability Matrix (TTM).

The DSP will use their own tools to manage their requirements and demonstrate traceability to both the solution design and the Pre-Integration Tests. The DSP will provide DCC with a PIT TTM, extracted from these separate tools.

The scope of testing in both PIT and SIT will be validated by use of Test Traceability Matrix (TTM), setting out how each requirement within the scope of the release is met. Should any testing initially planned for PIT be untestable during that Test Phase the test(s) will be added to the scope of testing to be conducted during SIT. Any such movement will be reported to TAG.

The TTM will be generated by the SI, based on the updates to the specifications listed in section 2.1, and will consider the resulting impact of those changes and resulting co-existence of enrolled devices operating to different variations of versions of those specifications as well as current version of those specifications. Production of the TTM is a requirement for SIT to commence.

At the completion of SIT, any additional tests which have been created during SIT will be added to the TTM.

The TTM will be used by DCC to demonstrate the completion of SIT, alongside the heat map.

9 Test Procedure

This section describes the requirements for the testing process to prove the solution for November 2022 SEC Release.

The Solution Test Plans will define specific Entry and Exit Criteria for the individual Test Phases, with generic requirements for these described below.

The Solution Test Plans will also define specific entry and exit criteria for individual Test Phases, the governance process relating to the approval of the criteria, and the evaluation of success against them.

9.1 Generic Entry and Exit Criteria

Progression through Testing Phases for the November 2022 SEC Release will be gated using generic and specific Entry and Exit Criteria.

The Solution Test Plans will provide detail of the evidence to be gathered in the form of an evidence pack.

9.1.1 Generic Entry Criteria

The following generic Entry Criteria will gate the entry to all Test Phases, except for UIT which shall have no Test Plan, or Test Specification:

- Solution Test Plans signed off
- Test Phase Completion Certificate for preceding Test Phase issued, unless advanced agreement that Test Phases may overlap
- Test Specification and heat map prepared, including traceability to Requirements / Design documents
- Test labs, Devices, tools, stubs, environments, and data are assured and accepted as fit for purpose, including external assurance, where applicable
- Regression test pack has been prepared or updated
- DCC and all relevant Service Providers have confirmed they have resources with the requisite skills and access available to support the Test Phase
- Approval to proceed certificate issued by DCC, where contractually required, unless the plan states that Test Phases may overlap
- A device selection process will be used to select a subset of Devices, from the CPL, to be used for testing. These devices will be used to successfully complete SIT

9.1.2 Generic Exit Criteria

The following generic Exit Criteria will gate the exit of all Test Phases except UIT:

- For PIT it is expected all tests will be run, any exceptions documented and agreed by TAB
- For SIT all tests run, or any exceptions as in the case of CR4117 (SECMP0007) documented and agreed by TAB and TAG
- All test success criteria achieved, or any exceptions documented and agreed by TAB and TAG for SIT, and TAB for PIT
- The number and severity of any outstanding Testing Issues is at or below the target thresholds, or any exceptions documented and agreed by TAB for PIT and TAB and TAG for SIT
- Test results documented, and evidence captured
- Set of test issue logs have been produced
- Regression testing successfully completed with no new testing issue arising
- Production of agreed Work off Plans for any outstanding Testing Issues that have been identified during the Test Phase
- Work off Plans from preceding Test Phases have been completed
- Test Phase Completion Reports have been produced and, where required, Test Completion Certificates have been issued by DCC

9.2 Specific Entry and Exit Criteria for Test Phases

Specific Entry and Exit criteria for individual Test Phases shall be detailed in the relevant Solution Test Plans.

9.2.1 Entry into SIT

The Entry Criteria for SIT shall include, among other things:

- DCC to ensure all required Devices and Emulators are available 2 weeks before commencement
- The remaining generic entry criteria has been met at least 1 week before SIT commencement
- Successful assurance of SIT test data
- A device selection process will be used to select a subset of Devices, from the CPL, to be used for testing. These devices will be used to successfully complete SIT

9.2.2 Exit from SIT

All specific Exit Criteria for SIT documented within the Solution Test Plan has been met and any exceptions to this must be agreed at TAB, TAG and SEC Panel.

9.2.3 Entry into UIT

The Entry Criteria for UIT shall include:

- Successful completion of testing, assurance and DCC governance of the SIT phase for the functionality to be promoted into UIT.
- PreUT is to be completed prior to the start of [User Testing](#) to the satisfaction of the DCC. Should PreUT not be completed prior to the start of [User Testing](#), and where PreUT and [User Testing](#) overlaps, we shall bring the issue to TAG for discussion.

9.3 Acceptance Process Following SIT Completion

Following the agreement of SIT completion

For SEC Modifications, DCC will:

- Notify the Panel and Parties that SIT has ended
- DCC will provide the Panel with copies of the SIT Test Completion Report(s) along with a list of those sections of such reports that it considers should be redacted
- DCC will review the documentation and evidence to support the relevant Entry and Exit Criteria with the Panel's TAG to inform the Panel to enable their decision regarding the completion of SIT
- On direction from the Panel, DCC will provide the Parties and Service Providers with copies of the Test Completion Report(s) having first redacted any sections specified by the Panel

9.4 Test Phase Success Criteria

For SIT the following Test Success Criteria will be included in the Exit Criteria:

1. 100% of the functional tests listed in the Test Specifications have been executed, or any exceptions documented and agreed with TAB, and subsequently reported to the Panel's TAG for agreement, and to the Panel.
2. At least 90% of the functional tests executed relating to the new functionality have been passed, all failures are documented, and defects related to failures are as per the agreed defect threshold in Section 9.5 of this document
3. Regression testing in SIT achieves a 100% pass rate or any exceptions documented, excluding; defects known at the start of end of cycle testing and agreed with TAB, and subsequently reported to the Panel's TAG for agreement, and to the Panel.
4. 100% of End of Cycle Tests have been executed, with a pass rate of 90% excluding; defects known at the start of end of cycle testing; and any new defects arising since the start of end of cycle testing where such exclusion is approved by the TAG. We expect to

see the same results across End of Cycle 1 and End of Cycle 2 except in exceptional circumstances.

9.5 Testing Issues Threshold

Table 12 lists the standard thresholds for outstanding testing issues in each test phase. These shall be calculated by each Service Provider.

Table 12 – Threshold

Test Issue Severity	PIT	SIT
1	0	0
2	0	0
3	15	15
4	30	30
5	60	60

Note that:

- The defect thresholds are applied as part of the Exit Criteria for relevant Test Phases and apply cumulatively if there are iterative deliveries within a Test Phase. For example, there will never be more than 15 Severity 3 defects per Service Provider at an exit gate. This release has CSP C&S, and DSP changes so the thresholds above are applicable across all changes for the November 2022 SEC Release
- Meter manufacturer defects will not be included in the Testing Issue Threshold. Evidence will be sought that the meter manufacturer has accepted the Testing Issue. Where a meter manufacturer Testing Issue is found, testing will be conducted using an alternative manufacturer where possible to prove functionality.
- Testing Issues identified as a known production incidents will not be included in the Testing Issues mask
- TAB may judge that the SIT Phase can start even if the thresholds set in the PIT Exit Criteria have been exceeded, provided that an agreed Work off Plan is in place. This decision will be reported to the Panel's TAG and Panel, but is not subject to their agreement
- As part of confirming the completion of SIT the DCC shall present all extant Testing Issues identified during the November 2022 SEC Release testing to the Panel's TAG to confirm that the correct Severity has been assigned
- Where the DCC and the Panel's TAG cannot agree on the Severity of a Testing Issue identified in SIT or UIT, and this matter impacts achievement of a Test Phase Testing Issue Threshold, the DCC may refer the matter to the Panel for its determination, which shall be final for SEC Modification defects.
- Any Testing Issue found during the PIT Test Phase, that remains open at SIT exit shall be included in the SIT Exit Testing Issue Threshold and will be reported to TAG.

9.6 Work off Plans

Work off Plans, shall be produced detailing the Testing Issues that are outstanding and a plan for resolving them.

The Service Provider shall resolve all items within the Work off Plan within the following timescales;

- For Severity 3 defects, within 20 Working Days from the TAB meeting
- For Severity 4 defects, within 40 Working Days from the TAB meeting
- For Severity 5 defects, within 60 Working Days from the TAB meeting

The resolution of a Testing Issue will require the Service Provider to fix, retest and close the Testing Issue.

If the timescales for the Work off Plan are not going to be met, the Service Provider shall promptly produce and agree a correction plan with TAB.

If a Test Phase Completion Certificate has been issued subject to completion of a Work off Plan, and the Work off Plan has not been completed within the applicable time period, then DCC shall revoke the Test Phase Completion Certificate unless the failure relates solely to Severity 5 test issues.

10 Test Result Management & Reporting

Test Result Management and Reporting is to be provided to DCC by the DSP and the CSP (where applicable) for PIT and the SI with input from SPs SIT and UIT Test phases, on a frequency to be detailed in the Solution Test Plans.

10.1 Tracking & Reporting

HP's Application Lifecycle Management (ALM) Test Management tool will be used to manage testing and Testing Issues³.

All requirements, scripts, tests, execution results and defects are to be maintained in ALM. Connectivity between requirements, tests and defects is to be maintained for traceability and reporting purposes.

Overall responsibility of maintaining traceability of test and defects lies with the SI for all Test Phases.

The SI shall provide enhanced visibility and reporting of the progress, completion, and coverage of testing for SIT across a number of parameters. This should include test automation metrics previously referenced in section 6.

³ Except where not applicable for PIT

10.2 SIT Completion Reports

DCC will produce its own Test Completion Reports when it considers that the Exit Criteria required by the SIT Solution Test Plan have been met. The report will provide evidence of:

- Testing undertaken
- The results of testing
- De-scoped Scenarios, Requirements or Test Cases
- Any Variances from this Testing Approach Document
- Observations
- Acceptance of issues from 3rd parties such as Meter Manufacturers
- How Exit Criteria have been met.

This report, together with any relevant independent assurance reports, will be provided to the TAB, Panel's TAG, and the Panel.

11 Acceptance and Test Assurance

DCC has established processes for the acceptance of testing activity completion – these will continue for the November 2022 SEC Release. The TAB will conduct quality gate meetings and review Test Completion Reports before issuing Test Completion and Approval to Proceed Certificates.

11.1 Service Provider Self Assurance

Service Providers will continue to assure their own PIT activities against this Testing Approach Document and their specific PIT Phase and Test Plan. Service Providers will also continue to make their relevant testing deliverables available to the other Service Providers and exchange constructive comments to ensure solution and testing compatibility.

11.2 Test Assurance by DCC

DCC will continue to assure Service Provider testing using the processes and activities established for earlier releases, and will include the following methods, at times determined by the individual Solution Test Plans:

- Test Assurance Board quality gates
- Test Witnessing
- Test Observation
- Test Quality Audits
- Product Inspections
- Document Review

11.2.1 Quality Gating and the Test Assurance Board

DCC will continue to operate the Quality Gating process developed for prior Releases and enhanced through experience. The Quality Gate process provides:

- Controlled entry of functionality into subsequent Test Phases
- Confirmation that the scope of tests shall provide adequate assurance of the changes introduced to the DCC System
- Formal and objective evidence that test criteria have been met for a Stage / Phase
- Transparency of test activities and outcomes to facilitate DCC Test Assurance
- Formal evidence for signoff of Service Provider test milestones and/or associated payments
- A mechanism for managing remedial work associated with closure of test stages / Phase

The Quality Gates from PIT into SIT and exiting SIT are operated as TAB gates.

11.2.2 Test Witnessing

DCC will agree, in advance, with the SPs, including the CSPs (where applicable) and DSPs, which tests it wants to witness during Factory Acceptance Testing (FAT). Details of these tests (which will be a subset of System Tests for FAT) will be described in the FAT plans. The SPs will provide DCC with a schedule of when the tests will be executed and invite DCC to witness on-site or via MSTEams. The witness will have the skills required to fulfil the role. The SP will provide the witness with relevant documentation and access.

For the November 2022 SEC Release DCC Test Assurance must be given full access to attend and witness such testing.

Execution of the agreed set of tests will be performed by the relevant SP test analyst, and there will be:

- No deviation from the scripts (eg in response to “what if” questions raised by witnesses)
- No hands-on execution by witnesses
- Where a gap in testing is witnessed, this will be recorded as an observation for further testing

Testing Issues raised during witnessing will be entered into the relevant Test Issue Management tool and progressed through the Test Issue Management process.

As far as possible, any queries and issues arising during the witnessing period will be addressed at the time with the relevant Subject Matter Experts (SMEs). A wash-up session will be convened at the end of the witnessing period to discuss the outcome of witnessing and to agree any outstanding queries and issues.

11.2.3 Test Observation

With prior agreement with the SPs, including the CSPs (where applicable) and the DSPs, on the timing, duration, and scope, DCC staff may observe test execution and test issue management activities during System Testing and Solution Testing in order to familiarise themselves with SP processes and the systems under test. The DCC observers will have the skills required to fulfil the role.

12 Test Resources

This document will not provide detail of the DCC internal teams or the Service Providers who will be undertaking the actual testing but does provide details of the DCC Test Assurance Team and Testing Services Team who are responsible for assuring compliance with this Testing Approach Document.

This section also describes the Testing Stubs which will be used, and the other Testing Tools.

12.1 DCC

Notwithstanding, any organisational change at DCC affecting the structure of the team, dedicated DCC resources will support the assurance of testing described in this document.

The functions and services delivered by the DCC shall include:

- a) Test Assurance – responsible for reporting progress to industry, assuring the progress of testing, including witnessing, and observing testing within PIT, SIT, and TTO; reviewing test plans, scripts, and scenarios; co-ordinating with Product and Design teams to provide Device assurance, assuring reporting by Service Providers, providing evidence and documents into the TAB meetings, conducting TAB meetings; managing independent audit and assurance providers (where necessary), maintaining this Testing Approach Document, submitting evidence and reporting to Panel as required
- b) Issue Management – responsible for operating the issue management process; including chairing the Issue Resolution Board and reporting on issues for all Test Phases except PIT. Responsible for producing reports on Testing Issues, including providing regular reporting to DCC problem management on issues potentially affecting the DCC production solution
- c) Testing Services – responsible for being the point of escalation for Testing Participants, approving entry into UIT and associated entry criteria, responsible for supporting user testing and managing relationships with Testing Participants; reporting on user testing

12.2 Test Stubs

This Testing Approach Document allows for the use of Testing Stubs, where appropriate, across each of the Test Phases to support entry into and completion of those phases. Individual Service Providers, DCC and Testing Participants may utilise Testing Stubs to simulate or emulate elements of the solution which are either not available or practical for use in the relevant test phase.

The utilisation of test stubs, in particular Device Emulators, will only be utilised if a real Device does not exist.

For example, within SIT, a User Simulator will be used to act in the role of a DCC User.

DCC uses a variety of device emulators capable of emulating:

- ESME (incl. APC and ALCS)
- SAPC
- GSME
- IHD
- PPMID
- IHD
- HCALCS
- HHT (used to deliver service requests locally over the HAN)

Each emulated Device is capable of operating in single or dual band mode.

The emulators have specific functionality which will be used to generate test scenarios for:

DUIS 5.1⁴, GBCS v4.1 and SMETS2 v5

The emulators used for November 2022 SEC Release will have been through separate assurance and a TAB approval prior to use in SIT.

Once deployed into SIT the emulators will be undergo Pre-Zigbee Certification by the emulator providers.

Once Pre-Certification is completed, Zigbee Certification will be requested and completed at the earliest opportunity.

There are no firmware changes required for November 2022 therefore CSP scope of PIT will not test end-device functionality. End-device functionality will begin testing in SIT.

12.3 Test Laboratories

The DCC will provide a test lab facility and supporting services to enable Parties to test with their own Devices and DCC Communications Hubs and SM WAN infrastructure in the User Integration Testing environment.

⁴ As MP192 was not approved the DUIS will remain as 5.1.

13 Roles and Responsibilities

All parties involved in the November 2022 SEC Release testing shall:

- Follow Good Industry Practice, as define in the SEC
- Take all reasonable steps to facilitate achievement of the testing objectives
- Ensure that all Testing Issues are evaluated for the potential impact on the DCC production solution and its Users, at the point of raising the issue or during triage, and recorded as such on the test management tool

13.1 DCC Systems Integrator

DCC shall ensure that the SI will manage SIT and be responsible for the following activities:

- a) Producing and maintaining the SIT Test Plan
- b) Ensuring that SIT activities are carried out in accordance with the SIT Approach, the SIT Test Plan
- c) Overall planning and control of SIT, including chairing entry Quality Gates between FAT and Solution Test, and between Solution Test and User Interface Testing
- d) Maintaining Risk, Assumption, Issue, and Dependency Logs for SIT
- e) Leading the design and creation of test scenarios, test scripts, test data and test environments for SIT
- f) Preparing test execution and environment usage schedules for SIT
- g) Supporting the other SPs in their assigned test preparation and execution activities within SIT
- h) Managing Testing Issue resolution, and supporting SPs in the resolution process for selective Test Phases
- i) Producing the Test Stage Plans, Test Specifications, Test Traceability Matrices, Progress Reports, and Test Completion Reports for SIT
- j) Operating the master Configuration Management Plan
- k) Operating the master Release Schedule
- l) Operating the Environment Plan
- m) Support the Interoperability Test Events

13.2 DCC Service Providers

DCC shall ensure that the Service Providers (including DCC in its role as provider of Enterprise Systems) shall:

Support the Systems Integrator in:

- Planning and control of test phases
- Design and creation of test scenarios, test scripts, test data and test environments
- Preparing test execution and environment usage schedules
- Diagnosing Testing Issues
- Producing Test Plans, Test Specifications, TTM, Progress Reports, and Test Completion Reports
- Contributing to the master Configuration Plan
- Contributing to the master Release Schedule
- Contributing to the Environment Plan
- Establish, maintain, and control their own test environments, in terms of software / hardware configuration and access control

For tests within their agreed test boundary, under the direction of the Systems Integrator

- Execute and monitor test scripts
- Capture evidence
- Report progress

Resolve Testing Issues for their solution elements and undertake PIT testing (including regression testing) of any fixes required.

13.3 DCC

DCC shall:

- a) Comply with its obligations under this Testing Approach Document (this document)
- b) Ensure that activities attributed to Service Providers that are described in this document are undertaken
- c) Use its reasonable endeavours to ensure that SIT is completed as soon as is reasonably practicable to do so
- d) Enter into agreements with Device manufacturers to provide and support Devices for use in SIT, following appropriate qualification or selection activity
- e) Support the DCC Systems Integrator in the planning, control, and operation of testing
- f) Assure planning, preparation and execution activities undertaken by the DCC Systems Integrator and Service Providers as detailed in this document and through the Test Traceability Matrix
- g) Operate and Chair the DCC TAB process to review and approve the relevant Test Documents and issue the Approval to Proceed certificates (where applicable), Test Completion Certificates, and the approval of Test Phase Completion Reports
- h) Participate in Quality Gate Reviews
- i) Agree with the DCC Systems Integrator and Service Providers Tests to be witnessed
- j) Witness the execution of SP SIT

- k) Specify, procure, provide, and maintain the DCC Meter Protocol Emulator Devices and Service
- l) Appoint and manage the independent audit and assurance activities described in this document (where applicable)

14 Environments

The November 2022 SEC Release will use the standard release approach through the B - stream DCC environments.

These environments are available as required by the overall plan for the November 2022 SEC Release. Specific deliverables relating to the management and use of environments, particularly co-existing with other programmes, will be published by DCC. This will clarify the approaches to usage of the environments by the November 2022 SEC Release and other projects. DCC will also present regular portfolio level updates to TAG on use of environments.

14.1 Code Management

DCC will operate a process to merge code changes into the test environments used by the November 2022 SEC Release. The SIT Approach Document will provide detail of the frequency of the operation of this process.

15 Appendices

15.1 Appendix A - Functional Heat Map

The Functional Heat Map is currently work in progress.

15.2 Appendix B – Device Selection Process

Test approach/planning workshops are to be held to determine the Devices to be used in SIT. The attendees included the SIT test team, the DCC product team, the DCC Devices team and DCC Test Assurance. The device selection considered a risk-based approach to selecting appropriate meter sets.

Device selection considerations will consider the following:

- Current production use (“Day 1”)
- Soon-to-be production use (“Day 2”)
- The testing of all Comms Hub types
- The Meter Manufacturer used for each meter was based on availability and stability of required meters and as per the contract with DCC
- Real ESME and GSME devices to be used for regression device sets using combinations which were already available in production / testing
- Emulators will only be used for testing the new functionality where real devices are not available, e.g. GBCS4.1 [Device SLS version S2V5]
- Real PPMID devices will be used as per the device availability.

16 Addendum – Testing Approach

The following SEC Modifications have been added to the addendum as these are expected to be included in the November 2022 SEC Release as document only updates which were included post the original TAD approval during TAG89.

16.1 Additional Document Only inclusions for November 2022 SEC Release.

MP109 – ADT and Exit Quarantine file delivery mechanism

This modification proposes to replace the main delivery method of emails for Anomaly Detection Threshold (ADT) File and Exit Quarantine files with the use of the DCC SharePoint.

This is expected to be a *document only change*.

MP160 – Certificate Signing Request Forecasting

This modification proposes to remove the requirement on DCC Users to provide Certificate Signing Request (CSR) forecasts except where exceptional volumes are expected.

This is expected to be a *document only change*.

MP167 – Review of SEC documents

This modification proposes to remove any SEC documents or paragraphs that are deemed no longer applicable from the SEC.

This is expected to be a *document only change*.

MP181 – Meter Asset Provider Access to Related Data Held by the DCC

This modification proposes to allow Meter Asset Providers (MAPs) and Device Manufacturers to access smart asset-related data held by the DCC.

This is expected to be a *document only change*.

DP203 – Security Assurance of Device Triage Facilities

This modification proposes to increase security assurance across the end-to-end smart metering system by requiring the need for regulatory assurance of Triage Facilities, Triage Tools and Triage Interfaces.

This is expected to be a *document only change*.

DP204 – Incorporation of Category 3 Issue Resolution Proposals into the SEC – Batch 8

This modification proposes to to incorporate ten non-DCC System impacting IRPs into the SEC.

This is expected to be a *document only change*.