

SEC Panel Meeting 37x

Meeting SECP_37x_0311, 3rd November 2016

10:00 – 11:30, Gemserv, 8 Fenchurch Place, London, EC3M 4AJ

Final Minutes

Attendees:

Category	SEC Panel Members
SEC Panel Chair	Peter Davies
Large Suppliers	Simon Trivella
	Alex Travell
Small Suppliers	Eric Graham
	Mike Gibson
Electricity Networks	David Lane (teleconference)
Gas Networks	Hilary Chapman
Other SEC Parties	Hugh Mullens
	Mike Woodhall
Consumer Member	Morgan Wild (observer)
DCC	Paul Hawkins

Representing	Other Participants
BEIS (Secretary of State)	Duncan Stone
	Stuart Featham
Ofgem (the Authority)	Gwen Cruise
DCC	Joan Whitehead
	Richard Kelly
	Jane Eccles (part)
	Dave Broady
	Erika Melen
Meeting Secretary	Mertcan Agir
SECAS	Sarah Gratte
	Jill Ashby
	Alys Garrett
	David Barber

1. DCC Live (Release 1.2) SEC Panel Considerations and Decision Activities

SECAS informed the SEC Panel of the areas and activities that the Panel are required to consider as part of the DCC Live (Release 1.2) decision making process. It was noted that these activities specifically relate to the Central and South Regions only, as notified in the communication from the DCC following the Smart Metering Delivery Group (SMDG) meeting held on 19th October 2016. SECAS pointed out a similar process will be followed for the North Region once the associated Systems Integration Testing (SIT) and Interface Testing (IT) activities have been completed.

The Panel Chair confirmed that the decisions required for this meeting were in relation to the Interim SIT Exit Report for Central and South Regions and the Interim IT Exit Report for Central and South regions. Further, in relation to the DCC Live Criteria Report (“Assertion Letter”), comments would be requested with the Panel determining which feedback should be included within a letter to the Secretary of State (SoS) to inform their considerations as part of the DCC Live decision.

The Testing Advisory Group (TAG) Chair provided an overview of the activities and discussions of the TAG that had taken place on 31st October 2016 and 1st November 2016, in order to support the Panel in their duties to review and make determinations on the testing documentation that had been received. The Panel were informed that a robust and rigorous review had taken place to ensure the TAG were comfortable with the information provided, and with the recommendation provided to the Panel. The TAG Chair confirmed that the updates and information requested by the TAG had all been fulfilled with further revisions of the documentation being provided to the TAG.

The TAG Chair further noted that the DCC had supported discussions with the appropriate expertise who provided the appropriate level of detail and information in order to provide assurances to the TAG.

The TAG confirmed that the reports provided were a fair and accurate representation of testing that had been undertaken against the exit criteria.

2. DCC Live (Release 1.2) Interim SIT Exit Report

The DCC provided the Panel with the Interim SIT Exit Report, demonstrating that the exit criteria had been met in respect of the Central and South Regions for SIT Streams 1 – 3¹. The Panel were also provided with the Interim SIT Auditor’s Report as required by SEC Section T2.20.

The TAG Chair informed the Panel that the TAG had undertaken a robust review, with access to the relevant DCC personnel as well as the SIT Auditor. Further, the DCC confirmed that the defects outstanding were within the defect mask, with fixes to be deployed in the live production code for the outstanding defects.

It was confirmed that the queries and observations that the TAG raised throughout its review had been reflected in version 1.1 of the Interim SIT Exit Report provided to the TAG. The Panel agreed that version 1.0 of the report should be published with the updates included within version 1.1 to be included within the Final SIT Exit Report to be produced following the completion of SIT Stream 4. The DCC confirmed that there was no material impact in the uplift of the document from version 1.0 to version 1.1.

¹ The functionality included within SIT Stream 4 includes the Service Request functionality for User Entry Process Testing (UEPT) in the roles of Registered Supplier Agent and Other User, and testing of mesh communication hubs to be completed after initial DCC Live.

The Panel confirmed that the report should be published, in accordance with SEC Section T2.22, with no redactions.

Following receipt of the associated documentation provided by the DCC and taking into account any considerations from the TAG, the Panel:

- **NOTED** the contents of the Interim SIT Exit Report (Central and South Regions);
- **NOTED** the contents of the Interim SIT Auditor Report (Central and South Regions);
- **NOTED** the considerations of the TAG; and
- **DIRECTED** the DCC to make copies of the reports referred to in SEC Section T2.20 available to Parties, the Registration Data Providers (RDPs) and Testing Participants with no redactions.

3. DCC Live (Release 1.2) Interim IT Exit Report

The DCC provided the Panel with the Interim IT Exit Report for the Central and South Regions for determination that the Exit Criteria had been met.

The Panel were informed that the TAG undertook a rigorous review of the defects that were outstanding, with some defects remaining in the defect mask. The DCC provided a recommendation as to why the Severity 2 defects that remained outstanding should not impact DCC Live. Following the review, the TAG were confident that the outstanding Severity 2 defects would not be an impediment to DCC Live. It was confirmed that these defects will be reported in the weekly reports with any new defects that could potentially impact the defect mask being raised to TAG with a teleconference / meeting to discuss if required. The DCC gave a further update that the two Testing Participants that had exited User Entry Process Testing (UEPT) as part of the IT Exit Criteria had exited within the required defect mask.

It was confirmed that the observation that the TAG had raised throughout its review had been reflected via an update to the Interim IT Exit Report and an addendum had been provided outlining the change that had been made.

The Panel confirmed that they should direct the DCC to publish the Interim IT Exit Report v1.0 with no redactions.

Following receipt of the associated documentation provided by the DCC and the TAG recommendation and observations taken into account, the Panel:

- **NOTED** the Interim IT Exit Reports received, in respect of the Central and South Regions;
- **NOTED** the observations from the TAG and their formal recommendation;
- **DETERMINED** the IT Exit Criteria had been met in respect of the Central and South Regions in relation to the scope as set out within the Transitional Variation to take effect once designated by the SoS (attached as Appendix A), and taking into consideration the recommendation from the TAG; and
- **DIRECTED** the DCC to publish the Interim IT Exit Report v1.0 with no redactions.

4. DCC Live Criteria Report – Assertion Letter

To support the DCC Live decision making process, the DCC provided the Panel and the SoS with a report (the DCC Live Criteria Report) setting out their assurances that they are operationally ready for DCC Live in the Central and South Regions with the scope as set out within the report. The Panel were asked to review and comment on the report and detail the outcomes of the review within a letter to the SoS. The Panel undertook a page turn of the document as part of their review.

The DCC noted that key workarounds and outstanding actions required prior to DCC Live were detailed in Annex C of the report. The DCC provided an update on these actions at the meeting and walked through the items that remained outstanding. These actions were listed as Category B items – Final post-testing activities and configuration activities, all of which are scheduled for completion in parallel with governance activities.

The Panel discussed and considered the Category B items that remained outstanding and agreed that these should be raised in their letter to the SoS as items that should be completed prior to the DCC going Live. These items included:

- In relation to the Enrolment and Communication Services Ready Criterion, implementation of the fix required for defect 10627 (relating to the Gas Proxy Function) into the production code base;
- In relation to the Service Management, Self Service Interface (SSI) and Service Desk Ready Criterion, data loading of the Global Anomaly Detection Thresholds into the production platform; and
- In relation to the Parse and Correlate Software Available Criterion, publication of the Parse and Correlate Software v0.8.21.42.4 which includes resolution of a low severity testing defect.

In addition, the DCC raised a further item in relation to an operational defect that had been impacting the upload of incremental updates of Registration Data. The DCC confirmed that a fix had been deployed and the incremental updates were being validated and uploaded. The Panel agreed that they would recommend to the SoS that they should seek confirmation from the DCC that the above items had been completed prior to DCC Live. The Panel noted that they were not in a position to assess the operational impacts of the DCC, and assurance from the Users perspective that the defects had been addressed appropriately would have been beneficial.

The Panel walked through the assurance statements set out against each of the Live Services Criteria in Annex D. A number of items were clarified in relation to the workarounds based on the updated Annex C that was provided, however, no further considerations were raised to be included within the letter to the SoS. A query was raised by a Panel Member in regards to the requirement for the DCC Key Infrastructure Certificate Authority (DCC KICA) to be independently assessed by a UKAS approved auditor, as mentioned in the Panel meeting on 14th October 2016. It was confirmed that the SEC requirement does not require this activity to take place prior to DCC Live, and the DCC confirmed that the Smart Metering Key Infrastructure Policy Management Authority (SMKI PMA) would be kept up to date with the assurance regime.

The Panel noted that there were no further comments to be raised in the letter to the SoS, and SECAS agreed to update the letter in line with the discussions and provide a version to the Panel for comment prior to sending it to the SoS by close of play 3rd November 2016.

The Panel further discussed the process that had been undertaken with a need for a lessons learnt exercise to take place following the completion of the process to ensure improvements can be made for future release decision making activities. Specifically, a Panel Member raised that they were

satisfied with the support that was provided by TAG through the process and that they were providing the required expertise and rigour to the process. However, it was noted that more time in the governance process would have allowed for the TAG and the Panel to have further engagement to ensure the Panel were fully aware of the considerations that had taken place and any key issues that had arisen. It was also noted that the day-by-day delay that had occurred prior to the delivery of the DCC documentation had not been ideal, and there was a desire to avoid these kind of delays for future releases.

The Panel also raised that the process did not have sufficient User input which would enable further information on User impacts and risks for the Panel to consider as part of their review. It was noted that user acceptance will require joint involvement from the DCC, Parties and the SEC Panel. The DCC confirmed that they would be undertaking a lessons learnt exercise in order to ensure that improvements to the process can be made.

To conclude, it was reiterated that a similar process will be carried out for DCC Live Release 1.2 North with a focus on the timing to mitigate delays. The DCC noted that Release 1.2 SIT and IT Exit for North Region is expected to be completed week commencing 7th November 2016.

The Panel:

- **NOTED** the contents of the DCC Live Criteria Report in the form of the Assertion Letter;
- **CONSIDERED and COMMENTED** on the contents of the Assertion Letter; and
- **AGREED** the comments to be captured in the letter to be submitted to the SoS, and copied to the DCC, in response to their letter dated 14th October 2016, capturing the comments raised throughout the Panel's discussion.

ACTION SECP37x/01: SECAS to update the draft letter for Panel review prior to submitting the letter to BEIS, in response to their letter dated 14th October 2016, and including the captured comments raised throughout the Panel's discussion.

5. Any Other Business (AOB)

In regards to decision making process for DCC Release 1.2 North Region, the DCC mentioned it will focus on providing the supporting documentation in the most efficient timely manner. The Panel Chair confirmed that following receipt of the documentation, the TAG and Panel meeting would be scheduled. It was noted that further updates would be provided to the Panel Chair and SECAS on the progress towards the completion of testing in the North Region in order to allow scheduling of the relevant meetings to be considered.

There was no further business and the Chair closed the meeting.