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Paper Reference:	SECP_74_1511_17
Action:	For Decision

DP089 Problem Statement

1. Purpose

Draft Proposal [DP089 'Changes to Appendix R 'Common Testing Scenarios Document''](#) was raised by the Data Communications Company (DCC) and has undergone the Development Stage. The Change Sub-Committee believes this Draft Proposal is ready to be converted to a Modification Proposal. This paper sets out our proposed approach for progressing this modification for the Panel's approval. We are recommending that this modification be progressed directly to the Report Phase and that the Panel approve the Modification Report, the implementation approach, and that MP089 is a Self-Governance Modification.

This paper provides a high-level summary of the key points. A copy of the problem statement submitted by the Proposer can be found in Appendix A, and the draft Modification Report can be found in Appendix B.

2. Summary of the proposal

What is the issue?

Additional User Roles have been added to three Service Reference Variants (SRVs) through SEC Modification Proposals that are to be implemented in the November 2019 SEC Release. These additional User Roles for the three SRVs have not been mandated in SEC Appendix R 'Common Test Scenario Document' (CTSD), and therefore additional Users are not required to perform testing during the User Entry Process Testing (UEPT) or Additive UEPT. This means that the additional Users may not perform testing on these SRVs following the November 2019 SEC Release.

There has also been a contradiction identified in the CTSD where it requires the Electricity Distributor (ED) User Role to test SRV 6.2.10 against a SMETS1 Device. However, this SRV is not available to SMETS1 Devices, as defined in Appendix AD 'DCC User Interface Specification'.

What is the proposed solution?

The UEPT and additive UEPT requirements will be amended in SEC Appendix R to mandate the testing of these SRVs by the additional User Roles, post November 2019 SEC Release. Additionally, Appendix R will be amended so that EDs are only required to test SRV 6.2.10 against SMETS2 Devices.

3. Proposed progression

The Change Sub-Committee has agreed that this Draft Proposal is ready to be converted to a Modification Proposal. We believe that this modification should be progressed directly to the Report Phase. This Draft Proposal has been raised due to the need for consequential change resulting from two previous SEC modifications. These are corrective changes that should be implemented as close to the November 2019 SEC Release as possible.

Determination approach

We recommend that this Proposal is determined under Self-Governance, as the Proposal does not satisfy the criteria of Section D2.6 for needing an Authority decision.

Implementation approach

We recommend an implementation approach of **Ten** Working Days following approval.

4. Recommendations

The Panel are requested to:

- **AGREE** that DP089 is ready to be converted to a Modification Proposal;
- **AGREE** that MP089 should be progressed to the Report Phase;
- **APPROVE** the Modification Report;
- **APPROVE** the implementation approach; and
- **AGREE** that MP089 should be progressed as a Self-Governance Modification.

Jordan Crase

SECAS Team

8 November 2019

Attachments:

- **Appendix A:** DP089 problem statement
- **Appendix B:** MP089 Modification Report
 - **Annex A:** MP089 legal text

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DP089 ‘Changes to Appendix R ‘Common Testing Scenarios Document’

Problem statement – version 1.0

About this document

This document provides a summary of this Draft Proposal, including the issue or problem identified, the impacts this is having, and the context of this issue within the Smart Energy Code (SEC).

Proposer

This Draft Proposal has been raised by Mari Toda from the Data Communications Company (DCC).

What is the issue or problem identified?

User Entry Process Testing

User Entry Process Tests (UEPT) are designed to demonstrate that any prospective User, in each User Role that they wish to take, can successfully send each of the Service Requests for which they will be eligible and can receive the corresponding Responses or Alerts. UEPT demonstrates the User's ability to connect to the DCC via the Party's DCC Gateway Connection, communicate via the requirements of DCC User Interface, and use the Self-Service Interface (SSI).

Existing Users who are UEPT complete may also be required to perform additional tests (Additive UEPT) when new functionality becomes available to a User Role via Releases.

The tests required for each User Role are set out in SEC Appendix R 'Common Test Scenarios Document' (CTSD).

Issues affecting Service Reference

SECMP0025 & SECMP0039: new User Roles on Service Reference

[SECMP0025 'Electricity Network Party Access to Load Switching Information'](#) and [SECMP0039 'Communication Hub returns notification mechanism for Other SEC Parties'](#) have been approved for implementation in the November 2019 SEC Release. These two SEC modifications add additional User Roles to the following Service Reference Variants (SRVs):

- SRV 7.7 'Read Auxiliary Load Control Switch Data' added to Electricity Distributor (ED) User Role (SECMP0025)
- SRV 8.14.3 'CH Status Update – Fault Return' added to Registered Supplier Agent (RSA) User Role (SECMP0039)
- SRV 8.14.4 'CH Status Update – No Fault Return' added to Registered Supplier Agent (RSA) User Role (SECMP0039)

Whilst the User Roles that can access these SRVs have been expanded, the testing of these changes by the newly added roles has not been specified in the CTSD and is therefore not mandated for either UEPT or Additive UEPT.

SEC contradiction

Contrary to the definition in SEC Appendix AD 'DCC User Interface Specification version 3.0' (DUIS), SRV 6.2.10 'Read Device Configuration (Event and Alert Behaviours)' is not applicable or available to SMETS1 Devices. However, as mandated by the CTSD, Smart Metering Equipment Technical Specifications (SMETS) 1 Eligibility Testing requires testing of SRV 6.2.10 against a SMETS1 Device for the ED User Role.

How does this issue relate to the SEC?

The CTSD defines what testing Users must undertake. The approved changes for the November 2019 SEC Release, did not include any changes to the CTSD. This means that the added User Roles are not currently required to test in UEPT or Additive UEPT for SRV 7.7, SRV 8.14.3, and SRV 8.14.4.

Additionally, contrary to the current drafting of SEC Appendix AD, SRV 6.2.10 cannot be tested against SMETS1 Devices.

What is the impact this is having?

What are the impacts of the current position?

New User Roles on Service Requests

Without the mandating of testing for the added User Roles for SRV 7.7, SRV 8.14.3, and SRV 8.14.4, there is risk that following the implementation of the November 2019 SEC Release, Users operating in the new roles may exercise these SRVs without any prior testing of them.

Testing SRVs prior to use in production is good practice and the DCC believes that such User testing should be mandated via the CTSD. Such testing allows the individual User to check their interface and systems, whilst confirming that there is no adverse impact on the DCC System and other Users.

SEC contradiction

The ED User Role for SRV 6.2.10 will be in breach of Appendix R as they are unable to use this SRV. This would be through no fault of their own, as the CTSD wrongly requires this SRV to be run against SMETS1 Devices.

Without resolving this inconsistency, a general derogation against the requirement for SMETS1 devices would have to be granted.

What are the views of the industry?

Views of the DCC

The DCC strongly encourages Testing Participants to undertake the testing prior to using these Service Requests in the live (Production) environment. This is to minimise the risk of testing issues being found that could affect the live system, and to ensure that the Testing Participants' systems can use the functionality fully. Therefore, the DCC is supportive of this Proposal.

It further comments that as the testing will not be required to be performed retrospectively, it would be best to get this identified issue resolved and implemented into the SEC as soon as possible following the November 2019 SEC Release.

Views of SEC Parties

Some clarification was requested on the testing impacts of not including these changes with the November 2019 SEC Release. The Proposer is anticipating that testing will be taken up by Users in the New Year. SECAS suggests a standalone release to implement these changes as soon as possible following the November 2019 SEC Release.

Views of Panel Sub-Committees

The DCC presented the proposals in this problem statement to the Testing Advisory Group (TAG) on 28 August to seek its views. Members were broadly supportive and agreed that it was sensible to mandate the proposed SRVs.

Views of the Change Sub-Committee

The Change Sub-Committee agree that the issue is clearly defined and is a consequential change. It believes that the proposal should be progress to the Report Phase.

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MP089

‘Changes to Appendix R ‘Common Testing Scenarios Document’

Modification Report

Version 0.1

About this document

This document is the Modification Report for [MP089 'Changes to Appendix R 'Common Testing Scenarios Document''](#). It provides detailed information on the background, issue, solution, costs, impacts and implementation approach. It also summarises the discussions that have been held and the conclusions reached with respect to this Modification Proposal.

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This document also has one annex:

- **Annex A** contains the redlined changes to the SEC required to deliver the proposed solution.

1. Summary

Following the implementation of [SECMP0025](#) and [SECMP0039](#) in the November 2019 SEC Release, User Entry Process Tests (UEPT) and adaptive UEPT needs to be updated in Appendix R 'Common Testing Scenarios Document' (CTSD). This update will mandate the testing of Service Reference Variants (SRVs) by the additional User Roles that were granted eligibility in the aforementioned SEC Modifications. Additionally, the testing requirements of SRV 6.2.10 for Electricity Distributors (EDs) requires amendment. CTSD mandates that an ED must test SRV 6.2.10 for SMETS1 Devices which is no possible according to the specifications in Appendix AD 'DCC User Interface Specifications' (DUIS).

This proposal will impact Electricity Network Operators and Registered Suppliers Agents through additional testing requirements. Implementation costs are limited to Smart Energy Code Administrator and Secretariat (SECAS) time and effort to update the SEC documentation. If approved, this proposal is targeted for a standalone release following approval.

2. Background

User Entry Process Testing

User Entry Process Tests (UEPT) are designed to demonstrate that any prospective User, in each User Role that they wish to take, can successfully send each of the Service Requests for which they will be eligible and can receive the corresponding Responses or Alerts. UEPT demonstrates the User's ability to connect to the DCC via the Party's DCC Gateway Connection, communicate via the requirements of DCC User Interface, and use the Self-Service Interface (SSI).

Existing Users who are UEPT complete may also be required to perform additional tests (Additive UEPT) when new functionality becomes available to a User Role via Releases.

The tests required for each User Role are set out in SEC Appendix R 'Common Test Scenarios Document' (CTSD).

What is the issue?

SECMP0025 & SECMP0039: new User Roles on Service Reference

[SECMP0025 'Electricity Network Party Access to Load Switching Information'](#) and [SECMP0039 'Communication Hub returns notification mechanism for Other SEC Parties'](#) have been approved for implementation in the November 2019 SEC Release. These two SEC modifications add additional User Roles to the following Service Reference Variants (SRVs):

- SRV 7.7 'Read Auxiliary Load Control Switch Data' added to Electricity Distributor (ED) User Role (SECMP0025)
- SRV 8.14.3 'CH Status Update – Fault Return' added to Registered Supplier Agent (RSA) User Role (SECMP0039)
- SRV 8.14.4 'CH Status Update – No Fault Return' added to Registered Supplier Agent (RSA) User Role (SECMP0039)

Whilst the User Roles that can access these SRVs have been expanded, the testing of these changes by the newly added roles has not been specified in the CTSD and is therefore not mandated for either UEPT or Additive UEPT.

MP089 was raised by the DCC on 14 October 2019 to resolve this issue.

3. Solution

Proposed Solution

The UEPT and additive UEPT requirements will be amended in SEC Appendix R to mandate the testing of these SRVs by the additional User Roles, post November 2019 SEC Release. Additionally, Appendix R will be amended so that EDs are only required to test SRV 6.2.10 against SMETS2 Devices.

Legal text

The changes to the SEC required to deliver the proposed solution can be found in Annex A.

4. Impacts

This section summarises the impacts that would arise from the implementation of this modification.

SEC Parties

SEC Party Categories impacted			
	Large Suppliers		Small Suppliers
✓	Electricity Network Operators		Gas Network Operators
	Other SEC Parties		DCC

Electricity Network Operators will be impacted as the Electricity Distributor (ED) User Role will be required to perform testing on the SRV they have been added to.

Although not SEC Parties, **Registered Supplier Agents (RSA)** will be impacted as that User Role will be required to perform testing on the SRVs they have been added to.

DCC System

There will be no impact to the DCC System.

SEC and subsidiary documents

The following parts of the SEC will be impacted:

- Appendix R 'Common Testing Scenarios Document'

Other industry Codes

There will be no impacts on other industry Codes.

Greenhouse gas emissions

There will be no impacts on greenhouse gas emissions.

5. Costs

SECAS costs

The estimated SECAS implementation costs to implement this modification is two days of effort, amounting to approximately £1,200. The activities needed to be undertaken for this are:

- Updating the SEC and releasing the new version to the industry.

6. Implementation approach

Recommended implementation approach

The SECAS are recommending an implementation date of:

- **Ten** Working Days following approval.

These changes are consequential to two SEC Modifications that will be implemented in the November 2019 SEC Release. The additional User Roles to the SRVs will not be required to test them before use. Therefore, it is recommended to implement these changes as close to the November 2019 SEC Release as possible.

7. Conclusions

Benefits and drawbacks

The Proposer has identified the following benefits and drawbacks in implementing this modification:

Benefits

- Testing allows the individual User to check their interface and systems, whilst confirming that there is no adverse impact on the DCC System and other Users.

Drawbacks

- No drawbacks have been identified.

Proposer's rationale against the General SEC Objectives

Objective (a)¹

The Proposer believes that MP089 will better facilitate SEC Objective (a) as it would enforce best testing practice and possible risk mitigation.

¹ a) Facilitate the efficient provision, installation, operation and interoperability of smart metering systems at energy consumers' premises within Great Britain;

Appendix 1: Glossary

This table lists all the acronyms used in this document and the full term they are an abbreviation for.

Glossary	
Acronym	Full term
CTSD	Common Testing Scenarios Document
DCC	Data Communications Company
DUIS	DCC User Interface Specifications
ED	Electricity Distributor
RSA	Registered Supplier Agent
SECAS	Smart Energy Code Administrator and Secretariat
SMETS	Smart Metering Equipment Technical Specifications
SRV	Service Reference Variant
SSI	Self Service Interface
UEPT	User Entry Process Testing



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MP089 ‘Changes to Appendix R ‘Common Testing Scenarios Document’

Legal text – version 0.1

About this document

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

These changes have been drafted against SEC Version 6.18.

This document contains the changes required to deliver the Proposed Solution.

Appendix R 'Common Testing Scenarios Document'

Amend Section 1 as follows:

1 Introduction

1.1 Purpose

The purpose of this document is to:

- Define the procedural steps to be undertaken by a Party wishing to complete User Entry Process Tests (UEPT) in accordance with SEC Section H14;
- Set out the User Entry Process Tests that must be conducted by the Relevant Party with regard to each User Role that it may want to fulfil; and
- Describe the role and responsibilities with regard to the conduct of UEPT, including;
 - Entry and exit requirements
 - Defining Test Scripts
 - Defining Test Data
 - Planning the manner in which tests will be undertaken
 - Executing the tests
 - Reporting the results of those tests to the Data Communications Company (DCC) for approval.

Additionally, this document sets out the above for a Testing Participant wishing to complete:

- Additive UEPT in respect of R2.0 Functionality; ~~and~~
- Eligibility Testing in accordance with the User Testing Services Approach Document under the SVTAD for SMETS1; and
- Additive UEPT in respect of November 2019 SEC Release.

1.2 Types of Testing Required

Clause 8 sets out the specific tests that are required to be performed:

- For a new Party seeking to undertake User Entry Process Testing;
- For an existing User seeking to send Service Requests in respect of SMETS1 Devices (Eligibility Testing); ~~and~~
- For an existing User seeking to access R2.0 functionality (Additive UEPT); and
- For an existing User seeking to access November 2019 SEC Release functionality (Additive UEPT).

Amend Section 5.4 as follows:

5.4 Completing Additive UEPT for Release 2.0 or November 2019 SEC Release

Testing Participants that have completed UEPT prior to the release of R2.0 functionality into the production environment have the option of executing R2.0 Service Requests by the following routes:

- Completing UEPT style testing through the formal process as stated in this document; or
- Successfully executing the R2.0 Service Request in end to end Testing In accordance with the provision of the SEC Variation Testing Approach Document for Release 2.0.

Testing Participants will submit evidence of successful execution of R2.0 Service Requests to the DCC. After DCC accepts this evidence, the Testing Participant will be Eligible Users of those Service Requests.

For November 2019 SEC Release

Testing Participants that have completed UEPT prior to the release of November 19 functionality into the production environment must complete UEPT style testing through the formal process as stated in this document and the Testing Approach Document for November 2019 SEC Release.

Amend Section 8.1.4 as follows:

8.1.4 DUIS Matrix

New User

The following User Role tables reflect the test Service Requests that must be executed by a new Party seeking to undertake UEPT. The tests are those indicated as ‘Mandatory, Mandatory SMETS1 and Mandatory SMETS2+’ in the CV column, for which they must be executed for each specific User Role. Those indicated as ‘Mandatory’ must be executed in respect of a SMETS1 Device and a SMETS2+ Device. Those indicated as ‘Mandatory SMETS1’ must be executed in respect of a SMETS1 Device. Those indicated as ‘Mandatory SMETS2+’ must be executed in respect of a SMETS2+ Device. Where the test Service Requests are indicated as N/A there is no requirement to test during execution of the test scenarios.

Existing User seeking to send Service Request to SMETS1 Devices

The Service Request tests that must be executed if a Testing Participant has already completed UEPT and is seeking to send Service Requests to SMETS 1 Devices in a particular User Role (Eligibility Testing), as set out in clause 4.3 of the UTSAD, are those indicated as ‘Mandatory or Mandatory SMETS1 ’ in the CV column for the relevant User Role. Those indicated as ‘Mandatory’ must only be executed in respect of a SMETS1 Device and those indicated as

‘Mandatory SMETS1’ must only be executed in respect of a SMETS1 Device. Where the test Service Requests are indicated as N/A there is no requirement to test during execution of the test scenarios.

Existing User seeking to send Service Requests that access R2.0 functionality

For SMETS2+ when executing Additive UEPT for R2.0, the Service Requests that must be executed are as listed below and need to be executed where indicated by User Role and ‘Mandatory’ or ‘Mandatory SMETS2+’ in the CV column:

- Service Requests for Single Band Comms Hub – 2.1, 6.2.2, 6.2.3, 6.2.10, 6.5, 6.8, 6.15.1, 6.21, 6.22, 6.23, 6.26, 6.27, 14.1
- Service Requests for Dual Band Comms Hub – 6.28, 6.29, 6.30, 6.31, 6.32
- Service Requests which are not mandatory but can be executed by a User for that User Role if they wish are indicated by ‘N/A’ in the DUIS Matrix.

Those indicated as ‘Mandatory’ must only be executed in respect of a SMETS2+ Device.

Existing User Seeking to send Service Requests that access November 19 functionality

For SMETS2+ if a Testing Participant has already completed UEPT and is executing Additive UEPT for November 19, the Service Requests that must be executed in a particular User Role are those indicated as ‘Mandatory’ or ‘Mandatory SMETS2+’ in the CV column for the relevant User Role and are listed below:

- Service Request for Read Auxiliary Load Control Switch Data – 7.7
- Service Request for Communications Hub Status – 8.14.3 and 8.14.4

Amend Table 8.1.8 as follows:

6.2	6.2.7	Read Device Configuration (MPxN)	N	Mandatory SMETS 2	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	ED
6.2	6.2.10	Read Device Configuration (Event Alert Behaviours)	N	Mandatory <u>SMETS 2</u>	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	ED
6.5	6.5	Update Device Configuration (Voltage)	N	Mandatory	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	ED
6.13	6.13	Read Event Or Security Log	N	Mandatory	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	ED
6.15	6.15.1	Update Security Credentials (KRP)	Y	N/A	N/A	N/A	N/A	Mandatory	Mandatory SMETS 2	N/A	N/A	N/A	N/A	ED
6.18	6.18.1	Set Maximum Demand Configurable Time Period	N	Mandatory SMETS 2	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	ED
6.18	6.18.2	Reset Maximum Demand Registers	N	Mandatory SMETS 2	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	ED
6.22	6.22	Configure Alert Behaviour	N	Mandatory SMETS 2	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	ED
6.24	6.24.1	Retrieve Device Security Credentials (KRP)	N	Mandatory	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	ED
6.27	6.27	Update Device Configuration (Daily Resetting Of Tariff Block Counter)	N	Mandatory SMETS 2	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	ED
7.4	7.4	Read Supply Status	N	Mandatory	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	ED
<u>7.7</u>	<u>7.7</u>	<u>Read Auxiliary Load Control Switch Data</u>	<u>N</u>	<u>Mandatory SMETS 2</u>	<u>N/A</u>	<u>N/A</u>	<u>N/A</u>	<u>N/A</u>	<u>N/A</u>	<u>N/A</u>	<u>N/A</u>	<u>N/A</u>	<u>N/A</u>	<u>ED</u>
8.2	8.2	Read Inventory	N	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	Mandatory	ED
8.4	8.4	Update Inventory	N	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	Mandatory	ED
11.2	11.2	Read Firmware Version	N	Mandatory	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	ED
12.1	12.1	Request WAN Matrix	N	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	Mandatory SMETS 2	ED
12.2	12.2	Device Pre-notification	N	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	Mandatory	ED

Count of N/A	10	32	34	33	34	34	35	35	35	28	
Count of Mandatory	<u>1819</u>	0	0	0	1	0	0	0	0	6	25
Count of Mandatory SMETS 2	<u>78</u>	3	1	2	0	1	0	0	0	1	15
Total Tests										<u>4041</u>	

Amend Table 8.1.10 as follows:

8.4	8.4	Update Inventory	N	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	Mandatory	RSA
<u>8.14</u>	<u>8.14.3</u>	<u>Communications Hub Status Update- Fault Return</u>	<u>N</u>	<u>N/A</u>	<u>N/A</u>	<u>N/A</u>	<u>N/A</u>	<u>N/A</u>	<u>N/A</u>	<u>N/A</u>	<u>N/A</u>	<u>N/A</u>	<u>Mandatory SMETS 2</u>	<u>RSA</u>
<u>8.14</u>	<u>8.14.3</u>	<u>Communications Hub Status Update- No Fault Returned</u>	<u>N</u>	<u>N/A</u>	<u>N/A</u>	<u>N/A</u>	<u>N/A</u>	<u>N/A</u>	<u>N/A</u>	<u>N/A</u>	<u>N/A</u>	<u>N/A</u>	<u>Mandatory SMETS 2</u>	<u>RSA</u>
11.2	11.2	Read Firmware Version	N	Mandatory	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	RSA