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# MP122B 'Operational Metrics – Part 2'

## Modification Report

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14 September 2020

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## About this document

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This document is a draft Modification Report. It currently sets out the background, issue, solution, impacts, costs, implementation approach and progression timetable for this modification, along with any relevant discussions, views and conclusions. This document will be updated as this modification progresses.

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This document also has six annexes:

- **Annex A** contains the business requirements for the solution.
- **Annex B** contains the full DCC Preliminary Assessment response for the changes related to its Service Providers.
- **Annex C** contains the full responses received to the Refinement Consultation.

## Contact

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## 1. Summary

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This proposal has been raised by Gemma Slaney from Western Power Distribution.

Issues with transparency of reporting and relevance of the measures contained within the DCC Performance Measurement Report (PMR) have arisen. In its monthly review of the PMR, the Operations Group has found it increasingly difficult to report to the SEC Panel on the issues within the report.

As a result of the issues encountered by the Operations Group, the Operational Metrics Review (OMR) was undertaken to better understand the PMR measures, consider amendments and recommendations of new performance indicators.

Through workshops and User surveys, it is clear that Users want to see reporting that reflects the business processes that the DCC supports, for example, Installation and Commissioning, Billing, and Prepayment top up.

The Proposed Solution is for the DCC to facilitate the necessary changes to the DCC System to report on the wide range of metrics described in the business requirements and as recommended by the OMR. These metrics will provide more accuracy in reporting against User business processes and DCC service availability, give greater visibility of Incident Categories 3, 4 and 5, and increase the timeliness of the PMR. Overall, this will increase the transparency of the PMR, give Parties a more accurate view of the DCC's service performance and give the DCC a more accurate view of Party performance. The core changes to the DCC's Technical Operations Centre (TOC) and internal processes are already fully assessed and are proceeding under [MP122A 'Operational Metrics'](#). The consequential Service Provider impacts and costs are proceeding under this modification MP122B.

This modification's impacts will be limited to the DCC and its Service Providers. The costs to fully deliver the metrics which are dependent upon contractual changes between the DCC and its Service Providers have been estimated at between £7.8m and £12.4m; these costs have only been provided in a Preliminary Assessment.

The targeted implementation has not yet been determined.

## 2. Issue

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### Definitions

#### Measure

A "Measure" is something that the DCC is responsible for providing a level of service for, and against which targets for DCC performance can be set.

#### Indicator

An "Indicator" is something the DCC is not accountable for but provides a Key Performance Indicator (KPI) that may be of value or use to the industry; it cannot have a target attributed to it.

## The Performance Measurement Report

SEC Section H13.4 requires the DCC to produce a report setting out the Service Levels achieved in respect of each Performance Measure. The Performance Measure Service Levels are set out in SEC Sections D11.3, H13.1 and L8.6. The report also provides details of the Service Provider Performance Measures specified in the Reported List of Service Provider Performance Measures document<sup>1</sup>.

The report that the DCC produces in accordance with SEC Section H13.4 is known as the PMR and is presented to the Operations Group on a monthly basis.

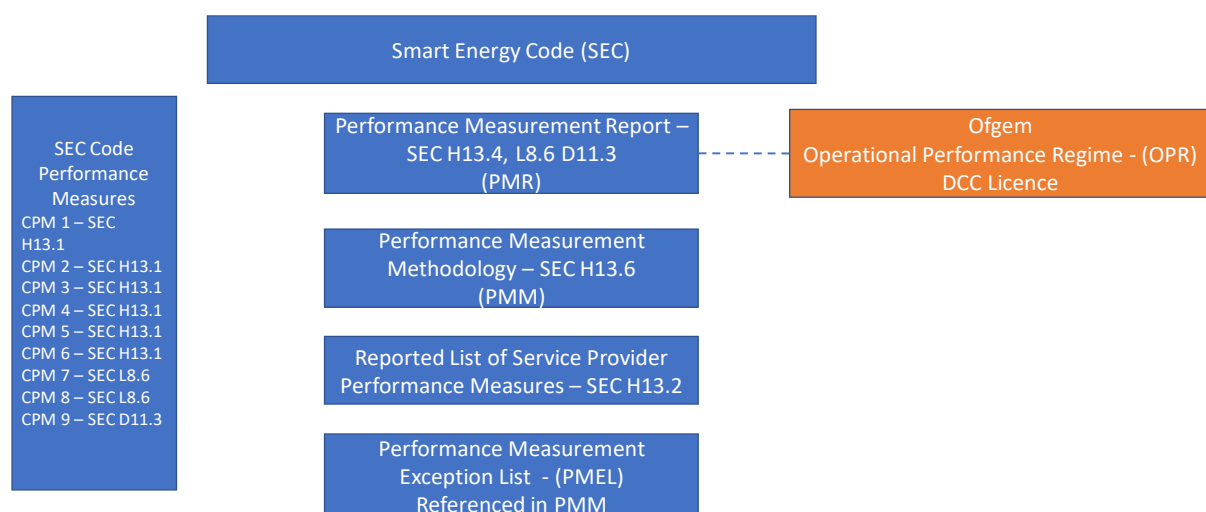
## The Operational Metrics Review

In October 2019, work commenced on the Operations Group's Operational Metrics Review project to identify improvements in the metrics used to measure the DCC service. The need for the review was identified following issues raised by the Operations Group in relation to the monthly PMR produced by the DCC.

The purpose of the Operational Metrics Review was to identify improvements in the set of operational metrics defined in the SEC for the measurement of the delivery of DCC Services. The improvements reflect User requirements and priorities. The review was resourced and managed by the Smart Energy Code Administrator and Secretariat (SECAS) and was conducted between October 2019 and March 2020.

Ofgem has been engaged throughout the review and is currently reviewing its Operational Performance Regime (OPR) structure. The aim of the Ofgem review is to ensure incentives placed on the DCC are adequate and effective, and therefore the outcomes of this project will help to ensure that the most appropriate subset of SEC defined measures feed into the OPR.

The diagram below provides a pictorial view of the performance reporting documents provided and maintained by the DCC in accordance with the SEC and utilised by Ofgem as part of its annual OPR review.



<sup>1</sup> This is a DCC Controlled document and is available via the DCC's SharePoint.

## Review outcomes

The project undertook a review of the Performance Measurement Methodology (PMM). The review was not a forensic examination of the calculations. The project, instead, tried to understand if the PMR metrics and supporting methodology remain appropriate and made recommendations for potential amendments and changes.

The table below sets out details of the review and observations on the issues against the Code Performance Measures (CPMs). Without action the issues highlighted within the table below will continue to be experienced by Users.

Summary of review outcomes			
Performance Measure ID	Description within the SEC	Summary of Measurement Methodology	Observation of issues
CPM1: Section H 'DCC Services' 13.1	Percentage of On-Demand Service Responses delivered within the applicable Target Response Time.	Calculation of aggregate performance across a number of On Demand Services and Service Provider contract Service Levels.  Uses Round Trip Test Home Area Network (HAN) Interface Commands.	Does not measure actual performance, rather a set of averages across a range of Service Provider Service Measures.
CPM2: Section H13.1	Percentage of Future-Dated Service Responses delivered within the applicable Target Response Time.	Calculation of aggregate performance across a number of future dated service requests across Service Provider contract Service Levels.  Uses varying Round Trip Time Test HAN Interface Commands.	Does not measure actual performance. A set of averages are used to determine performance, across a range of Service Provider Measures.
CPM3: Section H13.1	Percentage of Alerts delivered within the applicable Target Response Time.	Calculation of aggregate performance of percentage of Data Service Provider (DSP) Alerts within Target Response Time and CSP Alerts delivered across DCC gateway within the Target Response Time.	Measures average rather than actual volume performance against Service Provider Service Levels.
CPM4: Section H13.1	Percentage of Incidents which the DCC is responsible for resolving and which fall within Incident Category 1 or 2 that are resolved in accordance with the Incident Management	Calculation of Category 1 and 2 Incidents (for which the DCC is responsible for resolving), closed within the month (Performance Measurement Period). In accordance with Incident Management Policy.	Measures resolution times of Incidents per the measure rather than impact of outage to Users. Does not directly measure the number of incidents occurring in a month.

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Summary of review outcomes			
Performance Measure ID	Description within the SEC	Summary of Measurement Methodology	Observation of issues
	Policy within the Target Resolution Time.		
CPM5: Section H13.1	Percentage of Incidents which the DCC is responsible for resolving and which fall within Incident Category 3, 4 or 5 that are resolved in accordance with the Incident Management Policy within the Target Resolution Time.	Calculation number of Category 3, 4 and 5 Incidents for which the DCC is responsible for resolving, closed within the month that meet the Target Resolution Period divided by number of Category 3, 4 and 5 Incidents for which the DCC is responsible for resolving closed within the month.	Given the length of time to resolve, further transparency required to be sure that resolution is being reported against the correct month. Category 3, 4 and 5 resolution times calculated as an average.
CPM6: Section H13.1	Percentage of time (in minutes) when the Self-Service Interface is available to be accessed by all Users during the Target Availability Period.	Calculation is total time SSI available for the month.	This is measure only of the Self-Service Interface (SSI) availability not wider Service availability.
CPM7: Section L 'Smart Metering Key Infrastructure & DCC Key Infrastructure' 8.6	Percentage of Certificates delivered within the applicable Target Response Time for the Smart Metering Key Infrastructure (SMKI) Services.	Calculation of average weighted service level, of signing requests over Individual Smart Metering Key Infrastructure (SMKI) Service Interface reported in the month. Where demand is greater than 375,000 requests a manual adjustment is made.	Using weighted service levels, believe this is measuring averages and not time of actual communications of Certificates over the SMKI Service Interface.
CPM8: Section L8.6	Percentage of documents stored on the SMKI Repository delivered within the applicable Target Response Time for the SMKI Repository Service.	Calculates the number of SMKI Repository Requests where the SMKI Repository Response Time is less than or equal to the relevant Target Response Time over the number of SMKI Repository Requests received.	SMKI measure, the SMKI Repository Response Time calculated as the time at which the response to the SMKI Repository Request is sent minus the time at which the SMKI Repository Request is received.
CPM9: Section D 'Modification Process' 11.1	Out of the DCC Assessments required to be completed during the Performance Measurement Period,	Needs to be added to PMM.	Needs to be added to PMM.

Summary of review outcomes			
Performance Measure ID	Description within the SEC	Summary of Measurement Methodology	Observation of issues
	how many were completed within the required timescales.		

### Review recommendations

The review recommended that the DCC Operational Performance Reporting is addressed for the following areas:

- Report and measure service performance by User business processes using Service Reference Variants (SRVs).
- A measure of end to end DCC Service Availability across the DCC environment reported by Communications Service Provider (CSP) region.
- A change to the production of the PMR to improve the timeliness of production of the PMR, to ensure the PMR remains operationally relevant to Users.
- Changes or additions to Smart Metering Equipment Technical Specifications (SMETS) 2 arrangements for the PMR are, where appropriate, taken forward for SMETS1. This would ensure consistency across SMETS Device types and make sure that reports are focussed on outcomes, reflective of the experience of Users at an industry reported level.
- A change be made to CPM 5 to report resolution times of Incidents (Category 3, 4 and 5) individually per Reporting Period.

### What is the issue?

Through workshops and User surveys, it is clear that Users want to see reporting that reflects the business processes that the DCC supports, for example Installation & Commissioning, Billing, and Prepayment top up.

Key findings with the PMR reporting were:

- Instances where the reported performance is contradictory to the operational experience of Users
- Instances where the reported metrics, although correct, do not appear to reflect the impact of performance issues on Users
- Gaps in reporting whereby important aspects of operational performance are not being addressed by the current set of metrics

### What is the impact this is having?

The current arrangements do not provide suitable transparency in the use of the PMM that the DCC has utilised to date.

### 3. Solution

#### Proposed Solution

The Proposed Solution is for the DCC to implement updated reporting on the metrics. The enhanced reporting requirements are outlined in the business requirements. These requirements were formed from the recommendations made by the OMR:

- The DCC will report and measure monthly service performance for User business processes using SRVs
- The DCC shall add specific outcome-based measures to the PMR to provide a Measure of performance as well as Indicators on the success of the key business processes
- The DCC will measure end to end service availability across the DCC environment and report this by CSP region
- The DCC shall reduce the time it takes to create the PMR to within ten Working Days from the end of the measurement reporting period
- In relation to CPM 5, the DCC will improve transparency in the reporting provided for incident Categories 3, 4 and 5

This will increase the transparency of the PMM and give Parties a more accurate view of the DCC's performance.

The business requirements for this solution can be found in Annex A.

The new DCC Performance Indicators Document, which will be required by the Code, can be found in Annex B.

The DCC internal and TOC changes, as well as interim approaches for the most affected metrics are being implemented separately under MP122A. This modification seeks to implement the consequential changes relating to the DCC's Service Providers to fully deliver the reporting metrics.

### 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



## The DCC

The DCC will be required to facilitate the necessary changes to the DCC System to implement and report on the metrics outlined in the business requirements. The extent of the DCC System impacts are outlined below.

### Consequential impacts on SEC Parties

SEC Parties will see an increase in timeliness and transparency of the DCC's PMR, which provides a view of the DCC's service performance.

Parties should see the following improvements:

- The reported DCC performance will align with the operational experience of Users
- The reported metrics will show a greater reflection of the impact of performance issues on Users
- All aspects covering operational performance will be addressed in the PMR using the new metrics

In addition, the reporting that is delivered as a result of this modification could allow the DCC to highlight anomalies inconsistent with the performance of other Parties for a given business process. For instance, it can identify Parties with incorrect or inconsistent behaviour and liaise with that Party to resolve issues, whether the root cause lies with the DCC or the SEC Party.

## DCC System

The Working Group and the DCC have tried to confine the DCC impacts to the DCC's Technical Operations Centre (TOC), with this being made a design principle in the early stages of refinement.

However, some of the metrics require DCC Service Provider data, including the DSP, CSPs and SMETS1 Service Providers. Furthermore, contractual changes will need to be made with the Service Providers where those metrics provided by them need to be delivered within ten Working Days from the end of the reporting period.

### Consequential DCC contract changes

Reducing the time it takes to create the PMR to within ten Working Days from the end of the measurement reporting period will require the DCC to negotiate contract changes with all of its Service Providers, including the SMETS1 Service Providers. The specific contractual impacts with the DCC's Service Providers are detailed in Annex C. A set of Change Requests have been raised to assess these impacts further (see Section 5 below); the Preliminary Assessment against these Change Requests has also been provided.

## Testing

The DCC has raised eight CRs required in order to implement the Proposed Solution in its entirety as outline in the business requirements in Annex A. These Change Requests relate to the changes needed to the contractual arrangements with its Service Providers.

Change Request (CR) 1418 'Throughput of Alerts' will require DSP SIT testing only.

The following three CRs, will require changes to the Smart Metering System, and hence will require PIT, SIT and UIT if these Change Requests are selected:

- CR1421 'SRV 11.1 (Update Firmware)'
- CR1423 'Comms Hub Firmware Image Data'
- CR1440 'SRV 11.1 (Update Firmware)'

Note, CR1421 will not be needed and CR1423 will be significantly reduce in scope if [SECMP0007 'Firmware updates to IHDs and PPMIDs'](#) is approved.

The impacts on the DCC's Service Providers can be found in the DCC Preliminary Assessment for the changes related to its Service Providers in Annex C.

## SEC and subsidiary documents

### Consequential Change Request impacts

The DCC's Preliminary Assessment of its additional Change Requests notes that the following parts of the SEC may be impacted by CR1421, CR1423 and CR1440:

- Schedule 8 'GB Companion Specification' (GBCS)
- Appendix AD 'DCC User Interface Specification' (DUIS)

The DCC notes that other Technical Specifications may be impacted as well. The full SEC impacts resulting from these Change Requests will be determined in its Impact Assessment of these. Any SEC impacts resulting from the Change Requests that have not be implemented in this modification are expected to require implementation via another Draft Proposal.

## Consumers

Consumers are likely to indirectly benefit from this modification. The revised performance reporting should provide a better view of the DCC's actual performance in relation to key business processes. Improved reporting should lead to easier and earlier identification of issues that are impacting the service consumers receive, and trigger resolution actions to improve the performance and the consumer experience.

## Other industry Codes

This modification will not impact any other industry Codes.

## Greenhouse gas emissions

This modification will not impact greenhouse gas emissions.

## 5. Costs

### DCC costs

The DCC has raised eight CRs in order to implement the Proposed Solution in its entirety as outlined in the business requirements in Annex A. These Change Requests relate to the changes needed to the contractual arrangements with its Service Providers.

The DCC notes that it expects further Service Provider staffing will be required to support some of the CRs listed in this modification. Where these costs have been identified as manual efforts to review or check data returns, they have been included in the costs section below.

Its Service Providers have provided a preliminary Rough Order of Magnitude (ROM) and the breakdown of these costs, including the implementation timescales are as follows:

Breakdown of Preliminary Change Request costs				
Change Request	Cost to complete an IA	Time to complete IA (max)	Implementation ROM cost	Implementation timescales
CR 1418	£8,702	30 days	£300,000 to £450,000	3 months
CR 1420	£82,000	30 days	£110,000	1 month
CR 1421	£93,000	50 days	£1,800,000 to £2,500,000	12 months
CR 1423	£135,051	50 days	£2,500,000 to £3,500,000	12 months
CR 1429	£24,965	30 days	£60,000	3 months
CR 1430	£533,000	50 days	£1,200,000 to £2,500,000	6 months
CR 1438	£220,000	50 days	£1,330,000 to £1,480,000	6 months
CR 1440	£120,000	50 days	£1,450,000 to £1,850,000	12 months
<b>Total</b>	<b>£1,216,718</b>		<b>£7,750,000 to £12,450,000</b>	

The DCC has advised that CRs 1421, 1423, and 1440 will require changes to the Smart Metering System, and hence will require PIT, SIT and UIT if these are selected.

The DCC note there is significant overlap between CRs 1421 & 1423 and [SECMP0007 'Firmware Updates to IHDs and PPMIDs'](#). If SECMP0007 is approved, CR1421 will not be needed and CR1423 will be significantly reduced in scope with the overall ROM cost decreasing as a result. SIT and UIT testing is out of scope of its Preliminary Assessment of CRs, but PIT testing is included where appropriate.

The DCC also note that at the time of the release of this Preliminary Assessment, it is actively challenging several of the submissions from the Service Providers in terms of omissions, the technical content, implementation costs and timescales for producing the Impact Assessment and implementation of the changes.

### DCC costs

The DCC will also incur costs to support the CR design work as part of the Impact Assessment, and for implementation of the CRs. These have been estimated on the basis that all the CRs are taken forward and are as follows:

DCC costs		
DCC IA cost	Time to complete IA (max)	ROM
£65,250	40 days	£642,000

More information on the costs can be found in the DCC Change Request Preliminary Assessment response in Annex C.

The Working Group will review this Preliminary Assessment response and the costs during the Refinement Process.

### 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.

### SEC Party costs

SEC Parties are not expected to incur any costs as a result of this modification.

## 6. Implementation approach

### Recommended implementation approach

SECAS is provisionally recommending an implementation date of **4 November 2021** (November 2021 SEC Release).

However, this approach is still being assessed as the Proposer and the Working Group scrutinise the costs.

Certain Change Requests may be removed from the scope of this modification and this will likely impact the DCC implementation timescales.

## 7. Assessment of the proposal

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### Observations on the issue

#### Change Sub-Committee views

The Change Sub-Committee (CSC) questioned the timing of the raising of the proposal, given that, at the time, the Panel had not endorsed the OMR. Specifically, the CSC was concerned if this proposal duplicated any work undertaken by the OMR.

SECAS advised that the OMR was in its final stages when the proposal was raised, and that the Operations Group had been involved throughout its development. SECAS had already identified the recommendations it planned to make as a result of the review, and these were presented to the Operations Group on 7 April 2020.

SECAS acknowledged that it was, at the time, pre-empting the Panel's review of the OMR recommendations (which took place on 17 April 2020). However, given the interdependencies between this proposal and Ofgem's OPR review, it was necessary for this proposal to progress in tandem with it.

#### Panel views on the modification timeline

Note, following approach was determined before the extent of the DCC's Service Provider impacts had become clear and hence why MP122B was established so not to delay the DCC and TOC changes being carried under MP122A.

The Panel considered the Authority's suggestion that the modification be made an Urgent Proposal. However, it deemed this was not necessary at the time and instead the Panel opted to prioritise obtaining a DCC Preliminary Assessment to better understand the impacts on the DCC Systems.

The Panel queried the overall timescales for this modification, noting its interdependencies with Ofgem's OPR review. Ofgem confirmed that it requires this modification to be implemented by April 2021, and that it would require certainty that the changes were approved when it issues its direction in November 2020.

SECAS later informed the Panel of the discussions between itself, the DCC and Ofgem around the timeline of the modification. These culminated in an agreement to target the presentation of the Modification Report to the August 2020 Panel meeting, with a view to an Authority determination being made by the end of October 2020. The timeline took into consideration the DCC's estimated lead time of four months and was therefore aiming for an implementation date of 25 February 2021 as part of the February 2021 SEC Release. The Authority agreed with the timeline and consequently opted not to make the modification an Urgent Proposal.

### Industry engagement during the Refinement Process

The DCC informed the Operations Group of its intent to hold DCC-led workshops during its Impact Assessment. This was to ensure the assessment provided a true reflection of the solution being delivered by the DCC. This would also ensure Users' expectations were met as to how each requirement would be delivered.

The Operations Group agreed further engagement was required but was not in favour of DCC-led workshops, preferring them to be held in the form of further Working Group meetings. Operations

Group members were concerned that DCC-led meetings would not provide adequate representation of Service Users and could lead to some Parties' views not being heard. The Working Group agreed with this approach and SECAS advised its intent to organise these meetings. SECAS aimed to hold these discussions in ad-hoc Working Group meetings occurring in quick succession. This would ensure there was no undue delay to the modification, noting Ofgem's request for the decision on this modification to be made by November 2020.

## Design principles

The DCC and the Working Group agreed that a set of design principles should be used to ensure that the solution is efficient and meets the desired outcomes of the OMR.

### 1. Using data already held by the DCC and its TOC wherever possible

The first principle that the DCC put forward was that the DCC should use data already held in the TOC and other DCC data sources wherever possible. Its rationale was that for any new data required from its Service Providers, it would be extremely unlikely that the DCC could raise an assessment and implement the change in time for February 2021 SEC Release.

This was accepted as a principle, although the Proposer was wary of relying solely on the TOC data as without the DCC's Service Providers, the data may not be completely accurate and fully reflect User experience.

### 2. Minimising DCC contractual changes

The DCC proposed that this modification should not generate any contractual changes beyond producing the PMR. It noted that if contract changes were required, the DCC would not be able to start negotiations and implement the agreed changes within the modification timeline. The Working Group accepted this principle but acknowledged that if DCC Service Provider data was needed then it should not be ruled out.

SECAS noted the potential to raise a separate modification for the metrics requiring contractual changes, with these being implemented later. However, the Working Group was not in favour of this and preferred to keep all the requirements under this modification.

### 3. Publication of the operational metrics

The DCC proposed that all of the new data resulting from this modification should be published in a new and separate report from the PMR. This was due to concerns it had with the consequential size of the PMR if it were to be used to publish the new metrics and publishing it within the 25 Working Day Service Level Agreement (SLA). (Note that requirement 4 of this modification also seeks to reduce this SLA to ten Working Days.)

The DCC advised how moving the metrics to a new reporting document, separate from the PMR, would help the DCC fulfil the current 25 Working Day SLA and proposed new ten Working Day SLA. It noted that any data sourced from the TOC could be delivered within ten Working Days from the end of the reporting period. However, the PMR must undergo quality assurance processes, which take time, which is why the DCC suggested moving the new metrics to a separate document.

The Working Group was against the idea of a separate report and requested to include all of the new metrics in the current PMR.

#### **4. DCC exclusions list**

The DCC noted that most processes have a dependence where a successful SRV response is required before the next SRV can be sent. However, it advised that some Users have set orchestrations that run for several SRVs without taking into account the requirement for success of a previous dependent SRV. In this scenario, the DCC believes this shouldn't be reported as a DCC failure.

Noting the above example, the DCC agreed to develop a DCC Exclusion List against measures where circumstances identify that the measures is impacted by actions that fall outside DCC's control (i.e. User action/error).

The Working Group accepted this and noted that there must be governance around how the exclusions list is managed. It was agreed that as the DCC builds the new report, it would identify any potential exclusions, and these would be agreed by the Working Group pre-implementation and managed by the Operations Group on an enduring basis.

#### **Relation to MP122B**

Requirements which were unable to meet design principles (1) and (2) above will be progressed via this modification MP122B to prevent delay to MP122A.

The following discussions and decisions documented in this report are relevant to MP122B only.

Please see the MP122A Modification Report to find the discussions and decisions relating to the requirements reliant on DCC internal and DCC TOC changes.

### **Measuring Alerts**

#### **From what points will the Alerts be measured?**

The Working Group requested that the DCC measure all Alerts from the point they are received by the Communications Hub to when they are validated by all of the applicable Service Providers and to when the Service User has confirmed receipt of the Alert. However, the DCC advised it could only measure Alerts from the point they enter and leave the DSP until CRs are raised and implemented.

As an interim measure to meet the 31 March 2021 deadline, the DCC will report on the volume of each Alert and when it had been sent to the Service User.

As noted above, the requirement for the DCC to measure Alerts against the timespans requested by the Working Group is dependent on Service Provider changes. These are covered under CRs 1418 and 1438 'Throughput of Alerts'.

CR1418 looks to assess the DSP impacts for measuring Alerts from the point they are received by the Communications Hub to when they are validated by all of the applicable Service Providers and to when the Service User has confirmed receipt of the Alert. In addition, this CR also assesses the impact to the DSP for providing this data to the TOC at intervals of 15 minutes.



CR1438 has been raised to assess the CSP North Region and SMETS1 Service Providers impacts for delivering this requirement. Note, Alert data for the CSP South and Central Regions is already visible to the DSP.

More information on these CRs can be found in Annex C.

## Install and Commission metrics

### Reporting Install and Leave

The DCC was asked to measure the daily total volume of Install and Commission versus Install and Leave. The reporting is to include a category for any Communications Hubs awaiting a decision that are still within the 90-day investigation period for Install and Leave. This would act as an Indicator. The DCC queried the definition of Install and Leave as it is a term used generically by Parties.

One Party believed Install and Leave would be defined as not being able to commission the full suite of smart meters before leaving the premise, not just a lack of Wide Area Network (WAN).

The DCC preferred this be defined as being due to no-WAN only, as it does not know what Devices Suppliers are trying to install. However, the Working Group felt an Install & Leave defined as no-WAN only would not be of any use to Parties.

The Working Group agreed that for the purpose of this modification, Install and Leave shall include both Proactive Install and Leave and Reactive Install and Leave<sup>2</sup> as defined under the Supply Standard License Conditions. It noted that the DCC should rarely have to report proactive instances as a Supplier would not send any SRVs in this scenario.

The DCC advised that it can monitor the volume of SRV 8.14.1 'Communications Hub Status Update – CHF Install Success SM WAN' against SRV 8.14.2 'Communications Hub Status Update – CHF Install Success No SM WAN'. However, it agreed that this metric should act as an Indicator, as many Suppliers either don't send an SRV 8.14.1 or 8.14.2, or where this no WAN, they raise an Incident rather than send SRV 8.14.2. Therefore, in order to validate this data, the DCC has raised a CR to allow it to see CSP data on all of the Incidents that have been raised against them for no WAN and therefore, report the total number of installations against no WAN installations.

This has been raised under CR1429 'Additional CSP Reporting to validate 90 Day No SMWAN Incidents' and will impact the CSPs.

More information on this CR can be found in Annex C.

## Firmware management metrics

### Measuring SRV 11.1 'Distribute Firmware'

The DCC was asked to provide a Measure for the number of target Devices listed in SRV 11.1 'Update Firmware' and how many HANs pertaining to those Devices successfully received an Image.

The DCC advised it cannot report on SRV 11.1 until contractual changes are made with the DSP, CSPs and the SMETS1 Service Providers. The DCC has since advised that a mechanism to measure SRV 11.1 is being investigated under [SECMP0007 'Firmware updates to IHDs and PPMIDs'](#). SECMP0007 is targeted for the November 2021 SEC Release. The Working Group agreed that the

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<sup>2</sup> Install and Leave shall include both Proactive Install & Leave and Reactive Install & Leave as defined under the [Supply Standard License Conditions](#).



DCC should include this measure in its Impact Assessment, irrespective of the progression of SECMP0007. This was due to SECMP0007 still being in refinement at the time, and therefore it was still uncertain if it would be approved. SECMP0007 is now in the Report Phase. Please see the SECMP0007 webpage (link provided above) for the latest progress. The DCC's Impact Assessment noted that once SECMP0007 is implemented (if approved), the required reporting change would be relatively low impact to implement.

In the interim, the DCC will report on SRV 11.3 'Activate Firmware' only for both SMETS1 and SMETS2 firmware updates until its necessary Change Requests have been implemented. This has been taken forward by MP122A.

In case SECMP0007 is rejected, CR1421 'SRV 11.1 (Update Firmware)' has been raised to implement the Service Provider changes needed for this requirement. This CR will look to link SRV 11.1 to the component messages and targeted Device responses sent and received within the CSP systems to identify whether the Firmware Image has been successfully applied to the Device(s). In addition, this CR also looks to assess the impact of the Service Providers subsequently providing the required data to the TOC on a daily basis identifying the throughput.

### **Measuring SRV 11.1 'Distribute Firmware' for SMETS1 Devices**

Further to the above, the DCC were also asked to provide a breakdown of the target Devices listed in SRV 11.1 by SMETS1 and SMETS2 (the latter to be further broken down by Region). The DCC advised that it was unable to provide a breakdown for SMETS1 Devices without making contractual changes with the DSP and its SMETS1 Service Providers.

CR1440 'SRV 11.1 (Update Firmware)' has been raised to address this. Specifically, for the SMETS1 Service Providers to report the success or failure and Round Trip Time of both the upload and activation of Firmware Images to individual Devices (including Communications Hubs). In addition, this data is then to be made available to the TOC on a daily basis identifying throughput.

Note, CR1440 is not covered by SECMP0007. This is because SECMP0007 is only applicable to SMETS2 Devices and is therefore not making any changes to the SMETS1 Service Providers or SMETS1 systems.

For the DSP, CR1440 is reliant upon CR1421 (or the implementation of SECMP0007). However, for the SMETS1 Service Providers this is a new, standalone change. There is a dependency on firmware distribution statuses to be provided by the SMETS1 Service Providers and a three new SMETS1 Service Providers Alerts. Note, even if SECMP0007 is implemented, the SMETS1 Service Provider elements of this CR will still be required.

During the Preliminary Assessment of this CR, one SMETS1 Service Provider recommended SRV 11.3 be tracked instead, but this would not match the business requirements specified by the Working Group.

### **Devices where the SRV 11.1 reporting wouldn't be available**

The DCC note that there are instances where the SRV 11.1 reporting mechanism will only be available where those Devices support the required Alerts, i.e. they have the necessary functionality, are configured accordingly and communicating successfully. For example, IOC/MDS PPMIDs do not support the capability of returning an acknowledgement upon receipt of a firmware Image during the distribution and/or activation of a new Image. As a result, the proposed reporting mechanism for

PPMIDs will only report the distribution status to the Communications Hub. Any similar exclusions will be determined during the refinement.

### Communications Hub Firmware metrics

For measuring the Communications Hub Firmware business process, the DCC advised that it does not have data available to report on the delivery of a Communications Hub firmware Images to the Communications Hub. This is because Communications Hub Firmware Images are sent directly on the CSP and SMETS1 Service Provider networks.

A workaround has been agreed in the interim: instead of measuring both the distribution and activation of the Image, the DCC would instead measure only the activation of the Image. This has been taken forward by MP122A.

As with the measure for SRV 11.1 (SMETS2) above, the DCC has advised that a mechanism to measure the delivery of firmware Images to the Communications Hub is being investigated under SECMP0007.

In case SECMP0007 is rejected, CR1423 'Comms Hub Firmware Image Data' has been raised to implement the changes required for the DCC to measure Communications Hub Firmware. This CR seeks to allow the CSPs and SMETS1 Service Providers to provide thus data to the TOC on a daily basis identifying throughput.

### Summary of firmware management CR impacts

CRs 1421, 1423 and 1440 are all dependent on Smart Metering System changes, and will require PIT, SIT, and UIT, with costs for latter two testing phases not yet determined. They would also impact the GBCS and the DUIS and potentially other Technical Specifications. Therefore, these CRs will need to be implemented in a scheduled SEC Release.

**Note, CR1421 will not be needed and CR1423 will be significantly reduced in scope if SECMP0007 is approved.** Whether SECMP0007 or these CRs are used for progressing the requirements, TOC development and reporting requirements would be covered by the DCC estimated costs in section 5.

More information on these CRs can be found in Annex C.

### Reducing the SLA for producing the PMR<sup>3</sup>

The DCC advised that requirement 4 will require contract amendments with all of its Service Providers, which could take at least six months to implement and impact on the DCC costs.

SECAS suggested that this requirement be implemented as a "part 2" under this modification, possibly in the June 2021 SEC Release. This would give the DCC more time to negotiate the contracts and allow them to comply with the obligation once it is implemented. However, the Operations Group did not want to take this approach. Working Group members echoed this

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<sup>3</sup> Business requirement 4: The DCC shall reduce the time it takes to create the PMR to within ten Working Days from the end of the measurement reporting period.

preference. Therefore, the ten Working Day SLA will be implemented into Section H 'DCC Services' under MP122A, which is targeted for the February 2021 SEC Release.

### **Service Provider impacts**

The DCC's final Impact Assessment response for MP122A showed that with additional staffing, it would be possible for the DCC to report on data already held by the TOC within ten Working Days from the end of the reporting period. However, contractual changes are required with all thirteen of its Service Providers to facilitate this and CR1430 'PMR reduced timescales' has been raised to assess this.

The Preliminary Assessment of CR1430 indicates that draft performance monitoring reporting can only be provided on the seventh Working Day following measurement period end. Although the CR seeks a timescale reduction, these timelines cannot be reduced from seven Working Days following the measurement period end because the Target Response Times for some of the transactions take up to 48 hours. This coupled with further reporting, server processing and authored report generation will take at least this much time.

One Service Provider has indicated the following reports, which supplement the PMR, must remain at the tenth Business Day following measurement period end:

- a. Operational effective report: Capacity and availability report
- b. Service failure report
- c. Quarterly summary report
- d. Annual summary report

For the service failure report (b. above), multiple Service Providers indicated that when sending any requests, questions or commentary on the service performance measurement back to the DCC, they can be attempted to be closed within two Working Days. However, the time taken will be dependent on nature of queries raised, and the level of analysis required. Therefore, this delivery time cannot be guaranteed.

More information on this CR can be found in Annex C.

### **Incident Category 3, 4 and 5 metrics<sup>4</sup>**

The DCC advised that the current monthly PMR already fulfils the request to provide a breakdown of the number of Category 3, 4 and 5 incidents closed in the period, and the number that achieve the Target Resolution Time.

The DCC believes it better to report the Incidents closed in the period instead of opened, as this ensures that all Incidents raised are reported on. Otherwise, if an Incident is raised and not closed in the period, it would not appear in a future report. It also means that Incidents raised towards the end of the reporting period and are not resolved but still within SLA are accurately reported on. The Working Group agreed with this method.

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<sup>4</sup> Business requirement 5: In relation to CPM 5, the DCC will improve transparency in the reporting provided for incident Categories 3, 4 and 5.

The DCC estimated that this requirement would produce an estimated 200 additional pages of reporting. The Working Group queried this and clarified that it only wanted statistics for each Incident Category, not commentary for each Incident within each category. For example:

- Number of Category 3 Incidents open
- Number of Category 3 Incidents raised in total in the period
- Number of Category 3 Incidents closed off and of those, how many were within the SLA

Any specific details for an Incident(s) would be addressed verbally at the Operations Group.

The Working Group agreed that data must also be broken down by SMETS1 and SMETS2.

### **Service Provider Dependencies**

Although it is likely that the DCC will deliver requirement 5 and its accompanying metrics in time for the 31 March 2021 deadline, it notes a dependency on the validation of the data and its Service Providers. CR1420 'Incident reporting to support revised PMR' has been raised to address this.

This CR seeks to report all Incidents logged in Remedy by Category, with statistics identifying the number of Incidents per Category, the number that met the Target Initial Response Time and the number that met the Target Resolution Time. This is to be broken down by resolver group where the resolver is one of the following:

- The DCC;
- DSP;
- CSP(s);
- SMETS1 Service Provider;
- Dual Control Organisation; or
- other Service Providers.

The reporting shall be provided to support the revised PMR within one, two, three, four and five Working Days of Month End (rather than just current five Working Days).

In summary, the reporting produced by the DCC for this requirement must be validated by its Service Providers. The CR has been raised to reduce their validation timescales. There is a risk that Service Providers won't be able to deliver these changes in time, but discussion has indicated that this is low risk.

More information on this CR can be found in Annex C.

## Views against the General SEC Objectives

### Proposer's views

#### *Objective (b)*<sup>5</sup>

The Proposer believes that MP122B will facilitate SEC Objective (b). It will help provide a clear account of the Service that the DCC is providing to ensure that they are compliant with their obligations.

#### *Objective (g)*<sup>6</sup>

The Proposer believes that MP122B will facilitate SEC Objective (g) by providing clear and relevant reports that will detail exactly what is happening with the DCC Systems and performance. It will also highlight any anomalies that might require addressing.

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<sup>5</sup> To enable the DCC to comply at all times with the General Objectives of the DCC (as defined in the DCC Licence), and to efficiently discharge the other obligations imposed upon it by the DCC Licence.

<sup>6</sup> To facilitate the efficient and transparent administration and implementation of this Code.

## Appendix 1: Progression timetable

The below timetable shows the key milestones which are targeted in order to implement this modification. An Authority Decision received by 30 October 2020 would give the DCC the four-month lead time it needs to be able to implement this modification in the February 2020 SEC Release.

Timetable	
Event/Action	Date
MP122 split into MP122A and MP122B	11 Sep 2020
Modification discussed with Working Group	7 Oct 2020
Update Panel	16 Oct 2020

## Appendix 2: Glossary

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

Glossary	
Acronym	Full term
ADT	Anomaly Detection Threshold
CoS	Change of Supplier
CPM	Code Performance Measure
CR	Change Request
CSC	Change Sub-Committee
CSP	Communication Services Provider
DCC	Data Communications Company
DSP	Data Services Provider
DUIS	DCC User Interface Specification
ESME	Electricity Smart Metering Equipment
FTE	Full Time Equivalent
GBCS	GB Companion Specification
GSME	Gas Smart Metering Equipment
HAN	Home Area Network
IHD	In-Home Display
KPI	Key Performance Indicator
MoO	Mode of Operation
MPAN	Meter Point Administration Number
MPRN	Meter Point Reference Number
OMR	Operational Metrics Review
OPR	Operational Performance Regime
PIT	Pre-Integration Testing
PMR	Performance Measurement Report
PMM	Performance Measurement Methodology
PPMID	Prepayment Meter Interface Device
ROM	Rough Order of Magnitude
SEC	Smart Energy Code
SECAS	Smart Energy Code Administrator and Secretariat
SIT	Systems Integration Testing
SLA	Service Level Agreement
SMETS	Smart Metering Equipment Specifications
SMKI	Smart Metering Key Infrastructure
SRV	Service Reference Variant
SSI	Self-Service Interface
TOC	Technical Operations Centre

Glossary	
Acronym	Full term
UIT	User Integration Testing