MP116 'Service Request Forecasting'

Annex A

Legal text – version 1.0

About this document

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

Section G - Security

These changes have been redlined against Section G version 12.0.

Amend Section G6.4 as follows:

G6.4   Where a User sets any Anomaly Detection Threshold in accordance with Section G6.3, it shall:

(a)   set that Anomaly Detection Threshold at a level designed to ensure that it will function, when used for the purposes of Threshold Anomaly Detection, as an effective means of detecting any Compromise to any relevant part of its User Systems;

(b)   before doing so: (i), take into account any guidance issued by the DCC as to the appropriate level of the Anomaly Detection Threshold; and

~~(ii)   have regard in particular to the forecast number of Service Requests provided by the User to the DCC in accordance with Section H3.22 (Managing Demand for User Interface Services); and~~

(c)   after doing so, notify the DCC of that Anomaly Detection Threshold.

These changes have been redlined against Section H version 10.0.

Amend Section H3 as follows:

Managing Demand for DCC User Interface Services

H3.21   ~~DuringBy the 15th Working Day of~~ the months of January, April, July and October, by the 15th Working Day of the month, the DCC~~each User~~ shall provide to the Panel and all Users the DCC's ~~with a~~ forecast of the number of Service Requests that all~~the~~ Users will (collectively) send in each of the 6~~8~~ months following the end of the month in which such forecast is provided. Such forecast shall contain a breakdown of the total number of Service Requests by reference to each Service Reference Variant listed in the DCC User Interface Services Schedule ~~and the category of Service (i.e. Future Dated, On Demand or Scheduled)~~; provided that for Service Reference Variant 11.1 (Update Firmware), the forecast must predict the aggregate number of Device upgrade requests that will be specified in the Service Requests (rather than the number of Service Requests). Each such forecast must specify the DCC's estimate of the number of Smart Meter installations and Enrolments which all Users will (collectively) undertake during each relevant month (recognising that such installations and Enrolments drive Service Request volumes).

H3.22   ~~A Party that is not a User but expects to submit Service Requests to the DCC at any time during any period referred to in Section H3.21 shall comply with Section H3.21 as if it were a User.~~The DCC shall produce, periodically review and update, and apply a methodology (including applicable assumptions) for creating the DCC's forecasts under Section H3.21. The DCC shall share such methodology (and updates) with the Panel and Users, and the DCC shall take into account any comments on such methodology received from the Panel and Users. In producing its forecasts under Section H3.21, the DCC shall take into account any and all information provided by Users under Section H3.25.

H3.23   The DCC shall monitor and record the aggregate number of Service Requests sent by each User in total, and also the aggregate number of Service Requests sent by each User in respect of each Service Reference Variant listed in the DCC User Interface Services Schedule. In addition, for Service Reference Variant 11.1 (Update Firmware), the DCC shall monitor and record the aggregate number of Device upgrade requests specified in Service Requests.

H3.24   During the months of February, May, August and November, b~~By~~ no later than the 10th Working Day ~~following the end~~ of each~~the~~ month, the DCC shall provide to the Panel and all Users a report which sets out:

(a)   the aggregate~~each User with a report that sets out the~~ number of Service Requests sent by all~~that~~ Users (collectively) during each of th~~at~~e previous 3 months~~s~~ (in total and broken down by reference to each Service Reference Variant listed in the DCC User Interface Services Schedule, and by number of Device upgrade requests for Service Reference Variant 11.1 (Update Firmware)), and comparing the actual numbers sent against the numbers most recently forecast for the applicable month;

(b)   the DCC's assessment as to the cause of any significant deviation (taking into account any directions of the Panel concerning significance) between the DCC's forecasts and

the actual numbers under paragraph (a) above, and the DCC's proposed corrective action; and

(b<u>c</u>) ~~each User with a report setting out~~ the current value (calculated at the end of <u>each of</u> the previous ~~3~~<u>three</u> month<u>s</u>) for every Monthly Service Metric <u>(measured across all</u>~~for that~~ User<u>s</u> <u>collectively)</u> and a comparison of the current value against the relevant Monthly Service Threshold~~; and~~<u>.</u>

~~(c)   a report to the Panel that sets out:~~

~~(i)   the aggregate number of Service Requests sent by all Users collectively during that month (in total and broken down by reference to each Service listed in the DCC User Interface Services Schedule), and comparing the actual numbers for that month sent against the numbers most recently forecast for the applicable month;~~

~~(ii)   where the total number of Service Requests sent by any User during that month is less than or equal to 90% or greater than or equal to 110% of the User's most recent monthly forecast for the applicable month, the identity of each such User and the number of Service Requests sent by each such User (in total and broken down by reference to each Service listed in the DCC User Interface Services Schedule); and~~

~~(iii)   where the measured value of any Monthly Service Metric for any User and that month is greater than or equal to 110% of Monthly Service Threshold, the identity of that User and the values of such Monthly Service Metrics during that month.~~

~~H3.25   The Panel shall publish the reports provided to it pursuant to Section H3.24(c) on the Website; provided that, in respect of the report concerning under-forecasting or over-forecasting by a User as referred to in Section H3.24(c)(ii), the Panel:~~

~~(a)   may decide not to publish one or more parts of that report where the Panel considers that the under-forecasting or over-forecasting was reasonable in the circumstances (including where it arose as a result of matters beyond the User's reasonable control); and~~

~~(b)   shall not publish any parts of that report where there would have been no under-forecasting or over-forecasting by that User of the total number of Service Requests sent by that User during the relevant month (to be assessed on the basis of a direct comparison between actual and forecast without applying the 10% tolerance provided for in Section H3.24(c)(ii)) if the following Service Requests were excluded from the assessment:~~

~~(i) Service Request 2.2 (Top Up Device);~~

~~(ii) Service Request 7.4 (Read Supply Status); and~~

~~(iii) Service Requests published by the Panel pursuant to Section H3.26.~~

<u>H3.25   Each User has the option (but no obligation) to review the (collective) forecasts and reports on actuals produced by the DCC under Sections H3.21 and H3.24. Each User has the option (but no obligation) to notify the DCC where the User disagrees with the DCC's forecast</u>

(recognising that the forecasts relate to Users collectively, and each User will only be aware of matters relating to itself), including where the User is aware of expected changes to one or more of the following (each of which will apply by reference to any threshold or other guidelines approved by the Panel from time to time):

(a)   the User's daily/monthly distribution or volume of Service Requests;

(b)   the User's monthly Smart Meter installation capacity;

(c)   firmware releases for the User's Devices; and/or

(d)   tariff updates for the User's customers.

H3.26   The Panel shall maintain and publish a list of priority Service Requests (if any) in respect of which the DCC must focus its efforts in achieving forecasting accuracy under Section H3.21that are subject to Section H3.25(b)(iii). A Service Request shall only be added or removed from the list on the application of one or more Users or the DCC, and where the Panel considers the addition or removal to be reasonable in circumstances. The Panel shall publish the list from time to time on the Website, and shall give the DCC and each User advance notice of any changes to the list.

H3.27   The DCC shall, on or around each anniversary of the date on which it first started providing Services over the DCC User Interface, review (and report to the Panel on) each Monthly Service Metric and associated Monthly Service Threshold to establish whether they are still an appropriate mechanism to illustrate User behaviour that may utilise a significant element of the capacity requirements of the Services.

H3.28   H3.28The DCC shall not be considered to be in breach of this Code with regard to the obligation to achieve Target Response Times if, forduring the month in question:

(a), __the aggregate Service Requests sent by all Users exceeds 110% of the aggregate demand most recently forecast by the DCC for that month forby all Users pursuant to Section H3.212;

(b)   the DCC can demonstrate to the Panel's reasonable satisfaction that the DCC did not receive comments or other information (including revisions to Anomaly Detection Thresholds) from Users which should reasonably have led the DCC to change its forecasts; and

(c)   (provided that the DCC shall nevertheless in such circumstances take reasonable steps to achieve the Target Response Times).