

APPENDIX AU

Network Evolution Transition and Migration Approach Document

1. Introduction and General Obligations

- 1.1. This Appendix is the Network Evolution Transition and Migration Approach Document (NETMAD) developed by the DCC pursuant to Section F13 (Network Evolution Transition and Migration Approach Document) of the Code.
- 1.2. Where directed to do so by the Secretary of State from time to time, the DCC shall develop and consult upon a further draft or drafts of this NETMAD in accordance with Section F13.5 of the Code, and the DCC shall submit such further draft(s) to the Secretary of State in accordance with the process set out in Section F13.4 of the Code.
- 1.3. For the purposes of Section F13.8 (Expiry of the Network Evolution Transition and Migration Approach Document), this NETMAD will cease to apply on 30 June 2026 (or any such later date as the Secretary of State may direct following a consultation on a proposed alternative with the Parties and the Panel) and shall no longer have any effect from such date (but without prejudice to the rights and obligations arising prior to that date).

2. Defined Terms and Interpretation for the purpose of the NETMAD

- 2.1. The following definitions shall apply in the NETMAD:

Term	Meaning
4G Communications Hub	means a SMETS2+ Communications Hub that is designed to work with 4G mobile communications technology
4G SM WAN	means that part of the SM WAN that will utilise 4G mobile communications technology.
Carton	means a package of 14 4G Communication Hubs in a cardboard box.
Completion Report	means the completion report for Initial Pallet Validation to be completed pursuant to Clauses 4.9 – 4.14.
Initial Pallet Validation (or IPV)	means the initial trialling of 4G Communications Hubs by Supplier Parties in premises.
Initial Pallet Validation Approach Document	means a document produced pursuant to Clause 4.4 of this NETMAD

Term	Meaning
Initial Pallet Validation Stage	means the period during which Initial Pallet Validation will be conducted.
JIP Milestone	means a milestone within the Joint Industry Plan.
Joint Industry Plan (JIP)	means the part of the joint industry plan that relates to the 4G Communications Hubs and Network Programme that is agreed at the Department for Energy, Security and Net Zero's smart metering design group.
DCC's Microsoft SharePoint	means a web-based collaborative platform that DCC uses to securely share and exchange information with individual Parties.

2.2. Additionally, where defined terms from specific parts of the Code are used, the relevant part of the Code is stated. Where no specific part of the Code is stated, a defined term shall have its Section A (Definitions and Interpretation) meaning.

3. Coverage Checker

3.1. Prior to the “LSC: Go-Live decision” JIP Milestone being met, the DCC shall make available to each Supplier Party through the DCC’s Microsoft SharePoint a searchable database with the capability to interrogate by post code and postal outcode whether a 4G Communications Hub installed in a premises at any given location:

- (a) is expected to be able to connect to the 4G SM WAN from the start of the Initial Pallet Validation stage; or
- (b) cannot be confirmed as being expected to be able to connect to the 4G SM WAN from the start of the Initial Pallet Validation stage.

3.2. The database provided pursuant to Clause 3.1 shall be a CSV file which is searchable by users at postcode and outcode level and shall be kept up to date. Whenever the DCC makes available an updated version of the database it shall notify each Supplier Party that it has done so.

4. Initial Pallet Validation

4.1. A Supplier Party shall not enrol a Smart Metering System incorporating a 4G

Communications Hub prior to the commencement of the Initial Pallet Validation Stage.

- 4.2. Each Supplier Party shall provide any information that the DCC reasonably requests in order to support the planning, coordination and undertaking of Initial Pallet Validation.

Initial Pallet Validation Approach Document

- 4.3. The DCC shall produce an Initial Pallet Validation Approach Document in accordance with Clause 4.4 which shall include the following:

- (a) the entry criteria that are required to be met before the Initial Pallet Validation Stage can commence;
- (b) the process for resolving Incidents occurring in respect of Services pertaining to the 4G mobile communications technology during the Initial Pallet Validation Stage, the applicable Incident thresholds that must not be exceeded in order for the Initial Pallet Validation Stage to complete successfully, and the process for excluding Incidents from counting towards those thresholds;
- (c) the other exit criteria that are required to be met in order for the Initial Pallet Validation Stage to successfully complete, including the minimum activity that must be undertaken before the Initial Pallet Validation Stage can complete; and
- (d) matters to be included in the completion report for the Initial Pallet Validation Stage.

- 4.4. The DCC shall submit a draft Initial Pallet Validation Approach Document to the Panel for review as soon as reasonably practicable (and such submission by the DCC and review by the Panel may take place prior to this Clause 4.4 coming into effect); and:

- (a) where the Panel and the DCC can reach an agreement, the draft Initial Pallet Validation Approach Document shall be updated by the DCC as necessary and deemed to be final; or
- (b) where the Panel and the DCC cannot reach an agreement, the matters of disagreement shall be referred by the DCC to the Secretary of State for determination. The Secretary of State's decision on such matters shall be final and binding for the purposes of this Code and the draft Initial Pallet Validation

Approach Document shall be updated by the DCC as necessary and deemed to be final.

4.5. Revisions to the Initial Pallet Validation Approach Document finalised pursuant to Clause 4.4:

- (a) may, from time to time, be submitted by the DCC to the SEC Panel in accordance with the provisions of Clause 4.4, and the provisions of Clause 4.4 shall apply (again) to the revised version of the document; or
- (b) shall be made by the DCC in accordance with any direction to do so issued by the Secretary of State. The DCC shall consult with the SEC Panel concerning any such proposed revision in accordance with any direction to do so issued by the Secretary of State.

4.6. The DCC shall comply with the Initial Pallet Validation Approach Document.

Start of Initial Pallet Validation

4.7. Initial Pallet Validation shall only commence once the Panel has determined that the Initial Pallet Validation entry criteria have been met.

Completion of Initial Pallet Validation

4.8. Initial Pallet Validation shall only complete once the Panel has determined that the exit criteria for completion as set out in the Initial Pallet Validation Approach Document have been met.

4.9. When the DCC considers that Initial Pallet Validation completion ought to occur, the DCC shall prepare a Completion Report. The DCC shall:

- (a) notify the Secretary of State, the Authority, the Panel, and the Parties that the DCC considers that Initial Pallet Validation has completed;
- (b) provide the Authority, the Panel, and the Secretary of State with copies of the Completion Report and a list of the sections of such report that the DCC considers should be redacted prior to publication; and
- (c) review the supporting documentation and evidence with regards to the relevant

exit criteria with the Panel.

- 4.10. The Panel shall confirm the completion of Initial Pallet Validation or shall highlight where it believes the exit criteria have not been met.
- 4.11. Where the Panel confirms the completion of Initial Pallet Validation (subject to the Panel and the DCC reaching an agreement regarding resolution of any issues raised by the Panel) the Completion Report shall be updated by the DCC as necessary and deemed to be final.
- 4.12. Where the Panel declines to confirm the completion of Initial Pallet Validation, the DCC shall update the relevant Completion Report to reflect resolution of any issues where the DCC and the Panel reached an agreement, and the DCC shall then either:
 - (a) refer the matters where the Panel and the DCC are in disagreement to the Secretary of State for determination; or
 - (b) continue with the Initial Pallet Validation Stage (and Clause 4.9 shall apply again).
- 4.13. Where a referral has been made by the DCC pursuant to Clause 4.12, the determination of the Secretary of State shall be final and binding for the purposes of this Code as follows:
 - (a) where the Secretary of State agrees that Initial Pallet Validation has completed, the relevant Completion Report shall be updated by the DCC as necessary and the contents shall be deemed to be final; or
 - (b) where the Secretary of State disagrees that Initial Pallet Validation has completed, the DCC shall continue with the Initial Pallet Validation Stage (and Clause 4.8 onwards shall apply again).
- 4.14. The DCC shall publish the final Completion Reports for Initial Pallet Validation as soon as reasonably practicable on the DCC Website, which shall be anonymised and redacted where directed by the Panel. The DCC shall notify the Panel, the Secretary of State, the Authority and the Parties of the publication of the report.

5. Ordering of 4G Communications Hubs for Initial Pallet Validation

- 5.1. Each Supplier Party shall be entitled to order 4G Communications Hubs intended for

use in the Initial Pallet Validation Stage in accordance with this Clause 5.

- 5.2. 4G Communications Hubs orders shall be supplied by the DCC in Cartons. Each Supplier Party may place a request for a minimum order of 1 Carton and a maximum order of 64 Cartons during the calendar month prior to the "Initial Pallet Orders" JIP Milestone. The DCC shall ensure that there are in total 640 Cartons (8,960 4G Communication Hubs) available for ordering by Supplier Parties.
- 5.3. The DCC shall make available to Supplier Parties at least one DCC contact telephone number and one DCC email address for the purposes of order requests for 4G Communications Hubs. A Supplier Party shall place any order request in writing by email by completing a template provided by the DCC for this purpose.
- 5.4. The template provided by the DCC pursuant to Clause 5.3 shall include :
 - (a) the number of Cartons of 4G Communications Hubs being ordered (which, in accordance with Clause 5.2, shall be between 1 and 64 Cartons);
 - (b) one Delivery Location for the order, including the following information for the Delivery Location:
 - (i) the full delivery address (including postcode);
 - (ii) days of the week and hours within those days that deliveries can be made;
 - (iii) a preferred delivery date within one month preceding the "Initial Pallet Supply" JIP Milestone; and
 - (iv) the name, email address, and telephone number for a nominated contact in relation to each Communications Hubs order.
- 5.5. Where a Supplier Party does not provide an order request in a number of Cartons or where the order request is more than 64 Cartons, DCC shall amend that element of the request at its discretion to comply with the requirements set out in this Clause 5..
- 5.6. Where the DCC receives a Communications Hub order request from a Supplier Party, the DCC shall:
 - (a) promptly acknowledge receipt of the request; and

- (b) within five Working Days of its receipt, notify the Supplier Party in writing via email either that:
 - (i) the request satisfies the requirements of Clause 5.4 and is therefore being processed; or
 - (ii) the request does not satisfy the requirements of Clause 5.4 with respect to the minimum or maximum number of Cartons therefore that the DCC has amended the order request pursuant to Clause 5.5, provide the details of the amendment and state that the request is being processed on that basis; and/or
 - (iii) the request does not satisfy the other requirements of Clause 5.4 in which case the Supplier Party shall revise the request within [5] Working Days so that it does so satisfy those requirements, in order for it to be eligible for processing by the DCC.
- 5.7. Following completion of the steps in Clause 5.6, the DCC shall process each Supplier Party's order request in accordance with the rules set out in Clauses 5.8 – 5.15.
- 5.8. Where the aggregate of the order requests pursuant to Clause 5.6 exceeds 640 Cartons, the following rules shall apply and the DCC shall adjust each Supplier Party's order request accordingly:
 - (a) each order request for 16 Cartons or fewer shall be accepted. Each order request for more than 16 Cartons shall be reduced by one Carton. This process shall be repeated until the aggregate number of order requests does not exceed 640 Cartons, provided that the DCC shall not reduce a Supplier Party's order request below 16 Cartons; and
 - (b) once the rules in Clause 5.8(a) have been applied, any remaining Cartons that are available to be ordered shall be randomly allocated to individual order requests that were reduced pursuant to Clause 5.8(a).
- 5.9. Where the aggregate of order requests pursuant to Clause 5.6 equals 640 Cartons, no further adjustment shall be made by the DCC to each Supplier Party's order request.
- 5.10. Where the aggregate of order requests pursuant to Clause 5.6 is fewer than 640 Cartons,

the DCC shall send an email to each Supplier Party that submitted an order request to invite them to increase their order request through an additional round of requests, stating the total amount of Cartons that are available for ordering in that additional round that have not yet been requested. Each Supplier Party shall have 5 Working Days to respond in writing via email to the DCC stating whether it wants to additionally request Cartons and if so, the number that it wishes to additionally request. Where a Supplier Party does not submit an additional order request, its order request shall not be amended.

- 5.11. In respect of those Supplier Parties that do submit additional order requests, where the aggregate of the additional order requests received pursuant to Clause 5.10 does not exceed the total Cartons that were available for ordering in the additional round, the DCC shall adjust each relevant Supplier Party's order request to reflect the additional amount requested by that Supplier Party.
- 5.12. In respect of those Supplier Parties that do submit additional order requests, where the aggregate of the additional order requests received pursuant to Clause 5.10 exceeds the total Cartons that were available for ordering in the additional round, then the following rules shall apply and the DCC shall adjust each relevant Supplier Party's order request to reflect the additional amount allocated to that Supplier Party:
 - (a) the DCC shall reduce the Supplier Party's additional order request by a single Carton. This process shall be repeated until the aggregate number of additional order requests does not exceed the total number of Cartons that were available for ordering in the additional round; and
 - (b) once the rules in Clause 5.12(a) have been applied, any remaining Cartons that are available shall be randomly allocated to individual additional order requests that were reduced pursuant to Clause 5.12(a).
- 5.13. In the event that a Supplier Party's order request or additional order request is amended pursuant to Clause 5.8 or Clause 5.12, the DCC shall contact that Supplier Party by email, to inform them of the amendment, setting out the reason for the change.
- 5.14. Each Supplier Party's accepted order for 4G Communications Hubs will be set at the amount of Cartons established pursuant to completion of the process set out in Clauses

5.8 – 5.12 (inclusive). The DCC shall notify each Supplier Party in writing via email of its accepted order amount by the "Initial Pallet Orders" JIP Milestone.

- 5.15. The DCC shall deliver to each Supplier Party its accepted order of 4G Communications Hubs to the location set out in the order request, within the opening hours of that location and on the delivery date established pursuant to Clause 5.4(b)(iii).
- 5.16. The DCC and each Supplier Party acknowledges that the DCC Licence and other parts of this Code (including Section A, Section F, the CH Handover Support Materials and the CH Installation and Maintenance Support Materials) shall be amended prior to delivery to apply in respect of the 4G Communications Hubs ordered pursuant to this Clause 5 and in respect of the Services that the DCC shall be required to provide in relation to those Communications Hubs.