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Action:	For Decision

SEC Panel Sub-Committee Report

1. Purpose and highlights

This paper provides the Panel with an update on recent activities from the Panel Sub-Committees, including key issues discussed, and details specific points the Sub-Committees would like to bring to the Panel's attention. The Panel is requested to note the updates and endorse the concerns raised by the Sub-Committees.

2. Technical Operations

2.1 TABASC Highlights

The TABASC met once in the last month. The meeting covered the following topics:

Elective Communications Survey

SECAS presented the results from the Elective Communication Survey RFI. The TABASC agreed that no further work was required on this project with the key message received from the feedback was that Parties would prefer if the DCC focus on their core service.

SSES Consultation

SECAS presented the TABASC with a Summary from the [SSES Consultation](#). The TABASC provided feedback and agreed to return to the topic in a future meeting following the conclusion of the Consultation.

BSC Modification P430

SECAS presented the TABASC with an update on the proposed scope of work as a result of BSC Modification P430 being withdrawn. The TABASC agreed with the proposed amendments.

CH&N Roadmap

The DCC presented the TABASC with an update on the Candidate Features List on the CH&N Roadmap. The DCC agreed to continue to assess the list and return to the TABASC at a future meeting and provide further updates.

CSP North Scaling & Optimisation

The DCC presented the TABASC with an update on CSP North Scaling & Optimisation, with a high-level overview of the work that has taken place in Phase 1 of the programme and presented the timeline for expansion of the network and message channels

DCC Technical Refresh and Outage Windows

As part of AOB, the DCC presented their new proposals for further Outage Windows to re-run the network replacement activity. The TABASC requested that the DCC return with their reasoning why establishing a full replacement network infrastructure was not considered viable. The TABASC agreed that DCC had a lot of work to mitigate the risk of a failure occurring again and were supportive of the revised approach but noted that it was unable to assess the technical details of the proposed approach due to a lack of information.

2.2 TAG Highlights

The TAG met once during the last month to discuss the following topics in addition to the regular testing updates:

GBCS 4.1 Test Approach Document

The DCC presented the TAG with the Test Approach Document (TAD) for GBCS 4.1. The approach to testing includes the following key points:

1. Testing will prove how the Communication Hub handles business process around HCALCS and PPMIDs firmware download ensuring that the correct Alerts are generated. SR 11.1 (Update Firmware) and a new SR 11.4 (Update PPMID Firmware) will be tested via the DSP to confirm the request for download.
2. The 14 day “retention timer” will be tested on all received images intended for HAN Devices to prove that if no attempt is made within 14 days to download the image it will be deleted.
3. Test scenarios covering conditions where one Device firmware download is interrupted by another firmware download request will be covered, an example test scenario being where a PPMID firmware download is interrupted by a request to download to a GSME.
4. Testing will also seek to prove the full end-to-end process of the firmware download including verification of results via the Performance Measurement Reports that were introduced as part June and November 2022 SEC Releases.

The TAG reviewed the document and asked the DCC to ensure it was specified that any Testing Issues (TIs) excluded based on being a Device defect were accepted by the manufacturer. The TAG otherwise endorsed the proposed approach to testing defined in the document.

ECoS Test Coverage Document

The DCC provided the TAG with the Enduring Change of Supplier (ECoS) Test Coverage Document (TCD). Systems Integration Testing (SIT) will demonstrate that the CoS party application and DSP can work in conjunction across the CoS Hosting Infrastructure to produce a complete end-to-end solution using the SMKI repository and compatible SMKI/IKI certificates generated by HSM's; and provide accurate reporting.

The TAG asked the DCC to provide clarification as to whether it intends for ECoS System Capacity testing to fall under TAG governance, as this was implied but is not typically the case, and to investigate the potential need for the Access Control Broker (ACB) to have the ability to update Device credentials.

ECoS Migration Test Approach Document

The DCC provided the TAG with the ECoS Migration Test Approach Document (MTAD).

The Migration Test Approach has been added to the ECoS Test Approach Document. The Scope of Migration Testing will consist of:

1. Demonstrating successful replacement of all types of credentials across all possible scenarios.
2. Successful operation of the stop request if a batch fails and the retry capability functions reinstate the process.
3. Demonstrating that SRV 6.23 (Update security credentials – Cos) has been successfully processed to initiate the ECoS Certificate swap.
4. Demonstrating that Devices that have been targeted for migration, migration completes successfully, first individually and then in batches.
5. Demonstrating SMETS2+ Devices that have been Commissioned will have their Device Security Certificates updated correctly.
6. Demonstrating that migration reporting is accurate.
7. Demonstrating any that if a Certification swap fails, it is reported and re-tried via the Error Handling and Stop / Edit Retry process.
8. Demonstrating that the appropriate Device Candidate Selection Engine Role Profiles have appropriate rights and permissions.

The TAG reviewed the MTAD and endorsed the DCC's progress on the document, with the intention to approve it at the next meeting following an agreed upon second review phase.

SMETS1 Uplift 2.5 Approach to Testing

The DCC presented the TAG with an update on Smart Metering Equipment Technical Specification 1 (SMETS1) Uplift 2.5, which revolved around the enabling of Final Operating Capability (FOC) Opt-in/Opt-Out (OIOO) features. The TAG asked the DCC to lower the permitted TI thresholds in the Defect Mask, and to amend the presented slides with specific wording on Uplift 2.5 governance.

2.3 Operations Group Highlights

The Operations Group met twice in the last month. The topics covered included the following:

Service Outage Strategy

The OPSG noted the DCC approach for developing the Service Outage Strategy, which has the goal of reducing the level of outages of the DCC service.

Initial work includes a DCC Commercial Technical Officer (CTO) study to review the key drivers for service outages and to outline a Programme of improvement works.

The majority of OPSG members were pleased with the proposed approach, although noted that although the plan's objectives were admirable, it was lacking detail on how the objectives would be achieved and therefore may not be feasible. The OPSG also noted that following the CTO study, the DCC should present its findings to the OPSG, Technical Architecture and Business Architecture Sub-Committee (TABASC) and Testing Advisory Group (TAG) for endorsement.

WNC Incidents (INC000000832699 & INC000000848418)

The OPSG noted the update on its remediation plans for two Major Incidents that relate to WNC Communications Hub (CH) issues: INC000000832699 and INC000000848418.

INC000000832699 – HAN Device Whitelist

The OPSG noted that there were approximately 18k impacted devices as of 3 July 2022. The DCC noted that CH replacements will be required for impacted Devices. The OPSG noted that a new firmware release (4.0.0.7) is targeted to be implemented at the end of July 2022 to stop this incident from occurring in the future.

INC000000848418 – PDP Issue

The OPSG noted that there were 247k Devices with the unrecovered Packet Data Protocol (PDP) Drop issue as of 6 July 2022. The DCC noted that no root cause has been identified. The OPSG noted that the implementation of firmware version v4.0.0.7 is also expected to reduce PDP drops.

The OPSG raised concerns regarding consequential costs and noted the discussions raised at the SEC Panel 104 and 105 meetings. The OPSG will be discussing the SEC Panel discussions and applicability to WNC Incidents at the 9 August 2022 meeting (OPSG_77).

DCC Service Management System (DSMS) Procurement

The OPSG noted outputs from the DCC's customer engagement survey and the scope for DCC Service Management System (DSMS) via ServiceNow.

The OPSG emphasised that DCC must identify any ways in which a service based on ServiceNow would differ from the current service, and/or not meet SEC requirements. The DCC should also seek to identify opportunities that ServiceNow might provide. The DCC should propose a process to ensure that User requirements have been adequately investigated.

The OPSG requested that the DCC return to the OPSG prior to the August 2022 SEC Panel to consider any SEC misalignment for ServiceNow.

Network Evolution: DSP Programme – Introduction to Options

The OPSG agreed to discuss the options in an upcoming workshop. The DCC will then return to the OPSG in October 2022 or November 2022 to discuss the outputs of the workshop.

RF Noise

The OPSG noted the update on progress made in relation to outstanding stock and non-compliant installs following the end of the derogation on 31 March 2022.

The DCC highlighted that there are two energy suppliers still installing non-compliant meters, but at low volumes. The DCC noted that it has been engaging with these energy suppliers, via service management reviews to stop these installations from continuing.

The DCC reported that previous assessments of non-compliant meters held in warehouses had been higher than reality, and that, in contrast to the previously reported position, it now appeared that the volume of outstanding non-compliant stock did not appear to be a significant factor.

CR4427 – Additional XML Signing Credentials

The OPSG noted that additional XML Signing Credentials will be implemented as part of the November 2022 Release. The OPSG noted that this is an additional requirement separate from [MP104 'Security Improvements'](#).

The OPSG noted that it will track readiness of Users in the approach to Go Live to understand any risk to consumers as part of the November 2022 SEC Release readiness review. The DCC noted that it will send guidance to Users once it has notified all the Sub-Committees.

GBCS4.1 Programme – Governance & Readiness Review

The OPSG noted the overview of the approach and timeline for reviewing the readiness and monitoring the deployment of the Great Britain Companion Specification (GBCS) v4.1 Communication Hub (CH) Firmware that was endorsed by the SEC Panel on 17 June 2022 (Panel_105).

SECAS and the DCC noted that they will return to the OPSG in Q4 2022 to outline the proposals for the pilot and deployment. The OPSG endorsed the proposed dates and agreed they could be published on the SEC Releases webpage.

Major Incident Review

The OPSG noted the Major Incident review of two Incidents for consideration: INC000000847147 and INC000000849294.

The OPSG requested that the RAG status for customer communications should be Red for INC000000849294 because of communications to Service Users being delayed. The DCC have confirmed since the meeting that this has been amended, and the report reissued.

Business Processes Indicator Performance Reporting Summary & Plan – May 2022

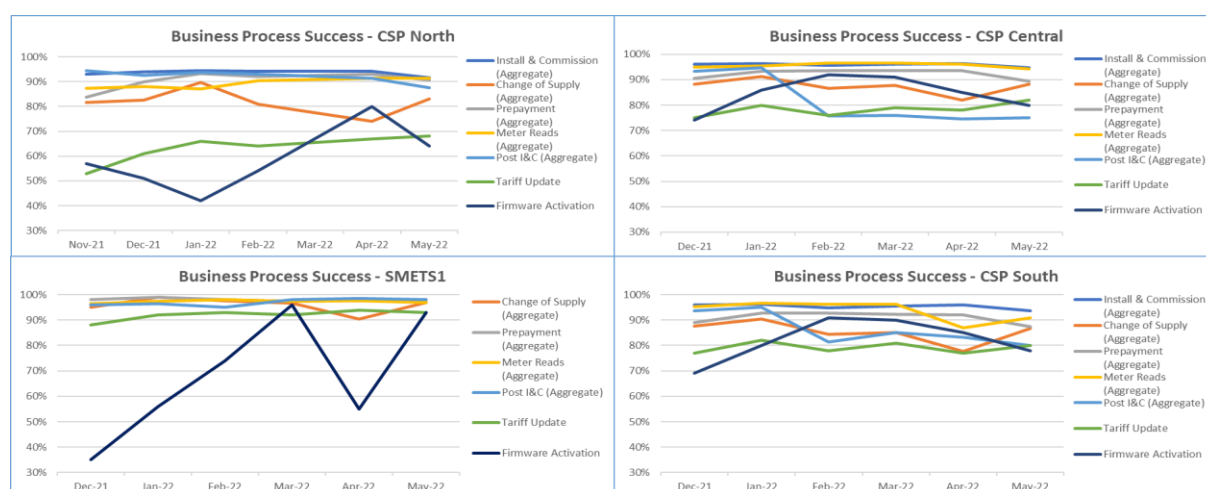


Figure 1 Performance Indicator Summary – Regional Business Process success

SECAS provided an overview of key observations from the Performance Indicator Report (PIR) for May 2022.

The OPSG noted the impact that the WNC PDP Drop issue had on the success rate of the Change of Supplier (CoS) business process, impacting approximately 11k devices in CSP C&S (making up 1.5% of devices targeted in June 2022). The DCC confirmed the PDP issue would have impacted other Business Processes (such as Prepayment).

The OPSG questioned whether there have been any observed impacts from the Go Live of the Faster Switching service. The DCC highlighted that it has reviewed the data for SRV6.23 'Update Security Credentials (CoS)' and noted a very high success rate of approx. 90% with no identified issues.

Service Performance – May 2022

The OPSG noted that there were five Major Incidents closed in May 2022: two Category 1 and three Category 2. There was one Category 2 Incident excluded from the May 2022 report due to this being only related to SMETS1 migration.

The OPSG noted that there were two Code Performance Measures (CPMs) below Target Service Level: CPM1 and CPM3. CPM1 was below Target Service level at 95.28%. CPM3 was below

Minimum Service Level at 88.45%. DXC and Trilliant have confirmed that the intended fixes will meet the required targets for the July 2022 reporting period.

The OPSG noted PM1.1 '*Percentage of Communications Hub delivered on time*' in relation to the global supply chain issues and the alignment with the SEC. The OPSG noted that Parties have been disadvantaged by the delays in Communications Hub (CH) deliveries. The DCC noted that as previously agreed (OPSG 75) this will be reflected from the June PMR onwards. The OPSG requested that a formal letter be drafted to Ofgem and BEIS regarding the issues faced by Parties and lack of reporting transparency.

Further details and commentary can be found in the SEC Panel DCC Reporting Panel paper [SECP_107_1208_18 – DCC Reporting].

3. Security Sub-Committee and SMKI PMA

3.1 Assurance and Compliance Status Decisions

The SSC set the compliance status for two Full User Security Assessments (FUSAs), three Verification User Assessments (VUSAs) and two Self-Security Assessments (SSAs) in July 2022. Details can be found in the confidential Appendix A.

3.2 Director's Letters

The SSC reviewed three Director's Letters following FUSAs in July 2022.

3.3 SSC Highlights

User SCF

SECAS and the User CIO presented an update regarding draft amendments to the User Security Controls Framework (SCF) to take account of changes to risks and longevity of personal screening (G4.2 and G4.3) and XML signing checks. The SSC agreed the changes and approved publication of the SCF v2.8 for publication, which also includes changes relating to Security Self Assessments (SSA) and Post Commissioning Obligations (PCO).

Assurance of Triage Facilities

The SSC was presented with an update on the progress on assurance of Triage Tools, Triage Interfaces and Triage Facilities and agreed to commission the User CIO to draft an SCF for Triage Facilities including a self-assessment questionnaire template.

CPA Monitoring

The DCC presented an update on withdrawn Certificates and the expiry of Commercial Product Assurance (CPA) Certificates. The SSC were also presented with a breakdown of the Pending Report which outlined the number of Devices per DCC User. The SSC agreed that each User would be sent their individual figures with a view to assess the accuracy of the data and their readiness to upgrade the Devices in question.

CPA-Related Issues

The SSC Chair presented updates on ongoing discussions with NCSC regarding CPA-related issues, including CPA Risk Review, the SSC Use Case Guidance Document, and an update on CPL issues. The SSC was also presented with an update on a CPL entry correction.

The SSC made a determination under SEC Appendix Z Section 6 to maintain on the CPL all Devices with an expiry date of 30 August 2022. This was to mitigate risks a) that NCSC would not issue lifetime certificates in time and b) that SSC may not have a quorum at August meetings to make the decision.

NEP Test Automation Framework

The DCC presented an update on the Network Evolution Programme (NEP) Test Automation Framework, and the SSC provided feedback. The DCC confirmed that a further update on progress and the security architecture of the solution will come to SSC for review at a future meeting.

NEP DSP – ACB Rotation

The DCC presented an update regarding the NEP Data Service Provider (DSP) – Access Control Broker (ACB) Key rotation, and the SSC noted the update. The DCC agreed to further develop the options and use cases and return to a future SSC meeting.

NEP DSMS

The DCC presented an update on the NEP DCC Service Management System (DSMS), and the SSC noted the update and provided feedback.

CSS Remediation Plan

The DCC (SS) provided an update on the Central Switching Service (CSS) remediation plan and the SSC agreed that there were no security issues to prevent CSS going live as currently planned.

Anomaly Detection Report

The DCC presented the latest Anomaly Detection Report, and the SSC noted the report.

Post Commissioning Report

The DCC presented the latest Post-Commissioning Report for May 2022 and provided additional information requested by the SSC. The SSC noted the report.

Emergency Firmware Updates

The DCC provided an update on the emergency firmware deployment capabilities of Communication Service Provider (CSP) North and CSP Central and South, and the SSC noted the update and provided feedback.

Emergency Suspension of Services

The DCC provided an update on the options that can be considered to perform an Emergency Suspension of Services, and the SSC noted the update and provided feedback.

ECoS Risk Assessment

The DCC and Accenture presented an update on the Enduring Change of Supplier (ECoS) Risk Assessment. The SSC provided feedback on the risk assessment for the DCC to consider and bring back to a future meeting.

ECoS Interim CIO Assurance Report

The DCC CIO presented an update on the ECoS Interim Report, and the SSC noted the update and requested some clarifications from the DCC.

XML 104/CR4427 (DCC XML Signing)

The DCC presented an update on the implementation of additional XML Signing Credentials, and the SSC provided feedback, noting it had no objections to the November 2022 release, provided that Users have sufficient time to test and implement and that DCC has engaged with Users appropriately.

SMETS 1 FOC Gas Meters

The DCC presented an update on the options available to improve security for GSME meters enrolled into Final Operating Capacity (FOC), and the SSC noted the update and agreed on which option to take forward.

Risk Assessment Workshop Closedown

The DCC CIO presented an update on the closedown of the ninth iteration of the SSC Risk Assessment, and the SSC provided feedback on the process and the final deliverables.

MP172 Legal Drafting

The SSC Chair presented an update on the legal text drafting for [MP172 'Reduced CPA & CPL requirements for innovation and Device field trials'](#). The SSC noted the update and agreed updates to the legal drafting.

DP207 'Allowing Registered Supplier Agents to Maintain Meter Firmware' Business Requirements

SECAS presented an update on the progress of [DP207 'Allowing Registered Supplier Agents to Maintain Meter Firmware'](#) highlighting the Problem Statement and Business Requirements. The SSC noted the update and agreed to consult with the User CIO on the potential increase in scope for User Security Assessments if this is to be implemented.

3.4 SSC CPA Issue Resolution Sub-Group (SCIRS)

SCIRS reviewed and commented on the proposed CPA Risk Review Process (renamed by NCSC from CPA Re-certification Process) and the associated Security Analysis Template (SAT) to apply to CPA Certificates approaching expiry and on future renewal. NCSC confirmed that the initial CPA Risk Reviews will be treated as pilots from which to learn lessons and NCSC will issue lifetime CPA Certificates in advance of expiry.

The SSC Chair noted that the proposed SSC Use Case Guidance process had been presented to SCIRS Members on 18 July 2022, although there was limited time for discussion. The following three points were highlighted:

- A Manufacturer raised an issue regarding obtaining evidence of compliance with Use Case Guidance.
- A SCIRS Member expressed concerns that meters submitted with triage capability are being required to undergo an AMAP that increases costs. Another SCIRS Member noted that it is part of the standard process to obtain a letter from a Test Lab to confirm no security impacting changes and this would emulate that existing arrangement.
- Test lab SCIRS Members noted that a letter could complicate the process because a separate notification to NCSC is required.

SCIRS Members reviewed a proposed Use Case for factory reset of a Communications Hub and provided comments.

SCIRS Members undertook to continue the discussion at future meetings and offline.

3.5 SMKI PMA

SoLR Process

The SMKI PMA Chair confirmed that there was one Supplier of Last Resort (SoLR) event since the previous SMKI PMA meeting but the Supplier had not been approved by the SSC to start live operations via the DCC.

SMKI Key Recovery Exercise Update

The SMKI PMA noted a DCC update on improvements to be made following the SMKI Key Recovery Event, highlighting an update on the delivery plan.

SEC Appendix L Proposed Amendments

The DCC provided an update on changes made in the draft proposed amendments to SEC Appendix L as part of [MP198](#). The SMKI PMA noted the update and provided feedback.

SMKI and IKI CPS

The SMKI PMA noted a DCC update on the SMKI and IKI Certification Practice Statement (CPS) proposed amendments and agreed to approve the proposed amendments, subject to the addition of minor amendments proposed by BEIS.

ECoS PKI Strategy

The SMKI PMA noted an update regarding the Enduring Change of Supplier (ECoS) Public Key Infrastructure (PKI) Strategy and provided feedback.

TSP Re-Platforming

The DCC provided a verbal update on Trusted Service Provider (TSP) re-platforming plans. The SMKI PMA noted the update and provided feedback.

SMKI PMA Standards and Best Practices

SECAS provided an update on SMKI Standards and Best Practices. The SMKI PMA noted the update.

4. SMDA Sub-Committee

The SMDA Management Panel Sub-Group (MPSG) met on the 20 July 2022 via teleconference. The MPSG were informed of the change of name to "Technical Sub-Group" to improve the understanding of its function. MPSG agreed to recommend the updates to the SMDA Change Process for the SMDA Baselines and test scripts, to the SMDA Sub-Committee (SMDASC). Members requested further time to review two outstanding items (WNC Comms Hub testing and SMDA Baseline Maintenance End date), therefore the electronic voting period was extended to 29 July 2022. The SMDASC met on 26 July 2022, where they approved SMDA Change Process.

The main focus of the SMDASC meeting was a presentation by the SME SECAS consultants on the initial outcomes of the SMDA review. The SMDASC discussed the potential amendments to the Scheme including changes to the current governance structure and improving the cost and timescale for testing.

A kick-off meeting for the independent testing of bridge devices was held with Alt HAN on 26 July 2022.

The Scheme Operator attended the ENA Smart Meter Steering Group meeting on 2 August 2022 to provide an update on the Scheme and continues to work with Network Party representatives to expand the Scheme's scope, with a meeting scheduled for 8 August 2022.

5. Recommendations

SECP_107_1208 – SEC Panel Sub-Committee Report

The Panel is requested to:

- **NOTE** the contents of this paper; and
- **ENDORSE** the concerns raised by the Sub-Committees.

Cecily Bain
SECAS Team
5 August 2022

Attachments:

- **Appendix A:** User Security Assessments – Identified Non-Compliances (**RED**)