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Paper Reference:	SECP_122_2811_19
Action:	For Information

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.

Highlights for the Panel's attention include:

- The OPSG is concerned that the DCC enacted a suspension of services without notification to the Panel, as required by the SEC Section H10. Noting the important principle involved here, the OPSG Chair proposes that the Panel asks the DCC for assurance that correct procedure will be followed in the future.
- The OPSG discussed the preparations being made for the 1 January Price Change Event. These will include DCC again actively seeking assurance of readiness from service providers. Also, Users will again be asked to follow advice to be published by the DCC, the aim being to spread peak demand on the DCC service.

2. Communications Transition Group (CTG)

2.1 CTG Highlights

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

DCC Update: CH&N Programme

DCC presented an overview of the overall plan for CH&N Transition to 4G Comms Hubs. The DCC provided updates on its programme risks and issues noting that all areas are green with the exception of Test Phases, Order Management System (OMS), and Business Readiness and Transition which are at Amber.

The CTG requested the DCC provide updates to the CTG regarding changes to the 2/3G T3 aerial roll-out process and the wind-down of the 2G contract, analysis of 4G coverage including the volume of Comms Hubs connected to the Wide Area Network (WAN) mesh gateway nodes, 2G to long-range radio and those connected to pre-payment meters. The DCC will be arranging two workshops to discuss details, risks, options, and potential rules related to mesh. The CTG **NOTED** these updates.

CTG Risks and Issues Register – monthly update

The CTG **REVIEWED** the updated Risks and Issues Register, **AGREED** to the changes made and baselining of the draft as V6.1. The CTG also **AGREED** that from CTG 09, the Risk Register will no longer be redlined, and the summary of changes paper will be used to highlight changes. A closed Risks and Issues tab will be created to track closed items.

Draft Overall Transition Plan

The CTG **REVIEWED** the draft Overall Transition Plan (OTP) and the Plan on A Page (POAP), **NOTED** the updates, and **AGREED** to baselining the draft OTP as v1.5. The CTG also discussed the next steps for capturing Supplier readiness and deployment activities for inclusions on the OTP and POAP and **AGREED** to hold a dedicated session with members on readiness.

CTG Factsheets

The CTG **REVIEWED** the updated Amber v3.1 CTG Factsheets and the new Green v1.1 CTG Factsheets. The CTG discussed sharing both Factsheet versions for comment post-meeting before baselining as v3.2 (Amber) and v1.2 (Green) and publication of the Green version. The CTG members **AGREED** to review the shared factsheets and confirm any changes needed by Close of Play 17 October 2023.

CH Exchange Skills/ Competences

The CTG discussed a Comms Hub installer competencies paper provided by the Association of Meter Operators (AMO). The CTG expressed dissatisfaction with the level of clarity shared to date and **AGREED** that understanding the current REC requirements and proposal of a modification to amend these requirements as needed should be prioritised urgently. The CTG **AGREED** that a workshop should be arranged to assess the process steps for CH exchange and establish if changes to the REC are required.

Asset Life

SECAS summarised the discussions held at an asset life workshop and recent Strategic Working Group (SWG) meeting in response to a CTG action of aligning Device replacement dates to minimise site visits and the impact of 2G/3G switch off on the premature replacement of installed smart assets. The views of the workshop were that there may be value in a central project with an objective of keeping perfectly working kit installed and that the CTG would be the most appropriate owner of the project, escalating broader issues to the SWG as necessary. SECAS will bring a Project Brief to the November CTG meeting. The CTG **DISCUSSED** the objective, **AGREED** CTG should be the responsible group for work in this area and **NOTED** the next steps.

3. Technical Operations

3.1 TABASC Highlights

The TABASC 95 and 94X meetings that took place this month and last month where the following topics were discussed.

TABASC 94X

DSP Requirements Feedback

The DCC returned to the TABASC to highlight its high-level requirements for DSP Data Systems re-procurement. The DCC collected feedback on both the newly introduced and existing high-level

requirements. This feedback will be considered by the DCC prior to submitting these high-level requirements as part of its procurement process.

DSP Action Responses

The DCC provided the TABASC with answers in response to outstanding DSP actions.

CH & Networks – DUIS and 4G CHs

The DCC provided an update on its Communication Hubs (CHs) & Networks programme, in particular, the application of the DUIS 5.3 version and other alternatives when managing installation of 4G CHs. The DCC agreed to provide further clarity on the impacts for its Customers who will use versions of DUIS earlier than 5.3 at a future TABASC meeting.

4G Retirement Risk and Upgrade

The DCC provided an update on its 4G service retirement risk and upgrade approach and presented a timeline for its device strategy post 4G. The TABASC queried the DCC's current strategic position for keeping up to date with the advancement of technology and the TABASC requested that the DCC returns with a long-term strategic communication plan.

TABASC 95

DSP High Level Requirements Update

The DCC presented its DSP High Level Requirements Update following the feedback received at the TABASC 94X meeting. The DCC presented changes made to the requirements based on the TABASC feedback. The TABASC noted the changes, however TABASC members requested that the DCC return to TABASC having reworked certain requirements.

Future Service Management Business Needs

The DCC presented its progress with the Future Service Management (FSM) Business Needs and timeline for implementation. The TABASC queried the DCC's inclusion of Order Management System (OMS) within the FSM scope and whether the proposed timeline for implementation is realistic. The TABASC requested that the DCC return to a future meeting with clarification of how the business needs will deal with the current deficiencies of the system.

SMETS1 DCO Business Needs

The DCC presented an update on its SMETS1 Dual Control Organisation (DCO) re-procurement activity. The TABASC requested that the DCC return with a more detailed forecast of the savings that can be achieved by either adopting a flexible or fixed infrastructure to support DCO operations.

4G DUIS Changes

The DCC returned to TABASC with an update on the changes required to support 4G WAN lookup arrangements on DCC User Interface Specification (DUIS) v5.3 and earlier. The DCC confirmed that there was no need for Users to adopt v5.3 immediately as v5.2 and earlier would continue to operate as before. The TABASC requested that the DCC keep the TABASC updated following their consultations with industry.

3.2 TAG Highlights

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

CH&N SVTAD Consultation

The DCC presented the TAG with details of the changes made to SEC Appendix AQ (SEC Variation

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Testing Approach Document for the CH&N Arrangements) as part of the CH&N SEC Variation

Testing Approach Document (SVTAD) consultation. The TAG reviewed the changes and endorsed the proposed amendments, and SECAS has provided a consultation response to the DCC in line with this outcome.

CH&N TAD

The DCC presented the CH&N Testing Approach Document (TAD), which had received updates since last approved at TAG 98. The DCC requested the TAG review the changes, and approve re-baselining of the document to align the CH&N TAD to the proposed SVTAD changes. The TAG reviewed the proposed changes, but deferred re-baselining the document until the SVTAD changes had been implemented.

GBCS 4.1 Testing

At the request of the Panel, the TAG reviewed a defect which had arisen during Great Britain Companion Specification 4.1 (GBCS 4.1) User Integration Testing (UIT) for Communications Hub 2 (CH2). The TAG reviewed the proposed Severity rating for the defect, inclusive of the proposed DCC workaround to mitigate the issue in production, and endorsed the proposed Severity rating. The TAG further noted the workaround would be assessed by the OPSG.

GBCS 4.2 TAD

The DCC presented the GBCS 4.2 Testing Approach Document (TAD) for review. This included details of the path to production, the scope of testing, Testing Issue (TI) treatment, and the use of Devices for testing. The TAG reviewed the document ahead of an approval decision at TAG 108.

November 2023 SEC Release Test Completion

The DCC provided the Systems Integration Testing (SIT) Test Completion Report (TCR) for the November 2023 SEC Release. The TAG reviewed the results of testing and approved SIT test completion.

Market-wide Half-Hourly Settlement Outstanding Testing Issues

The DCC provided an overview of outstanding Testing Issues (TIs) for Market-wide Half-Hourly Settlement (MHHS). The TAG reviewed the information provided, however deferred decisions on TIs for MHHS until the DCC returned with additional information.

3.3 Operations Group Highlights

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

DSMS = Future Service Management (FSM)

The DCC provided an initial briefing on their approach to the new FSM programme, which is the successor to DSMS. The OPSG agreed to review the proposed business needs within 10 working days.

DCC Service Non-Compliance

The OPSG considered the register of non-compliances. This included nine entries four new Non-Compliances and one of which had been closed since April 2023. The OPSG advised that the recent issue of DCC enacting a suspension of services without notifying the SEC Panel should be recorded as a non-compliance.

Draft Annual Outage Plan 2024/25

The OPSG noted with concern that this draft proposed by DCC envisaged significant outages for BCDR, including, for example, a particular concentration in April. The OPSG asked the DCC to further consider

how to mitigate this impact on Users, and to return to the OPSG in December with the next iteration of the plan.

Demand Forecasting

The DCC presented an overview of a 5-stage process of deriving and issuing the demand forecast, and how users and the OPSG would be given the opportunity to be involved. The OPSG requested that the DCC identify the specific benefits for SEC Parties which this process will deliver, so as to justify the costs likely to be incurred.

1 Jan Price Change Event

The DCC presented a summary of its planning and preparation activities. No major differences from the approach followed for October are currently envisaged. Once again, user cooperation will be requested; the OPSG again emphasised the need for the DCC to ensure the readiness of Service Providers.

GBCS 4.1 Update

The DCC provided a progress update on Toshiba, WNC and EDM I GBCS 4.1 releases noting that all were currently green, with no risks or issues to note. The OPSG noted that the next update from the DCC will be February 2024.

Scaling and Optimisation

The DCC reported the successful completion of Phase 1 and the current status of Phase 2 of the trial of the retiming of the scheduled read window. The OPSG supported the approach for the next stage, requesting that it be clearly communicated in advance to all Users through the Service Desk channels.

SECMP0028 – Prioritising System Messages

SECAS provided an update on the modification proposal to prioritise time-sensitive system messages based on urgency. The OPSG made several comments, including on prioritisation and the need for operational reporting, for forwarding to the Change Working Group.

DCO Update

The DCC introduced their proposed approach to this new programme. The DCC tabled the proposed statement of User Needs, seeking OPSG member comments before the publication of the next version.

November 2023 SEC Release

The DCC presented the final readiness review for the 8 Live Service Criteria for the November 2023 SEC Release. The DCC confirmed that there were no problems, Issues or Risks to bring to the OPSG's attention. The OPSG agreed the DCC's proposed Green status for all Live Service Criteria.

February 2024 SEC Release (DCC)

The DCC presented an update on the progress of the February 2024 SEC Release and summary of its impacts and included SEC Modification Proposals. The DCC confirmed that there were no problems, Issues or Risks for the OPSG's consideration at this stage.

DCC Enacting a Suspension of Service

The OPSG expressed concern that DCC had suspended service without following the SEC requirements.

The DCC acknowledged it had not followed the correct procedure as per the SEC and agreed to provide a formal response to the OPSG ex-committee on not meeting compliance including remediations taken. The OPSG Chair noted that although this is not a continuing non-compliance this should be added to the list of non-compliances with confirmation of remediation.

Service Capacity/User Demand

The OPSG discussed how the DCC currently manage and handle scheduling issues across Users. The OPSG confirmed that this is largely carried out by the DCC via bilateral engagements. The OPSG highlighted that a collective approach would be required to reach optimum solutions and to provide Users with full visibility of issues which are being worked on with the other Users. The OPSG then again noted the importance of sharing this information/updates when there is congestion at the DSP (Data Service Provider) during peak demand.

DCC Incident Categorisation

The OPSG and the DCC discussed continuing challenges associated with the current Incident categorisation process and noted the need for another workshop before Christmas.

4. Security Sub-Committee and SMKI PMA

4.1 Assurance and Compliance Status Decisions

The SSC set the compliance status for two Full User Security Assessments (FUSAs), one Follow Up Assessment, and one Security Self-Assessment (SSA) in October 2023. Details can be found in the confidential Appendix A.

4.2 Director's Letters

The SSC reviewed two Full User Security Assessment Director's Letters and one Security Self-Assessment Director's Letter in October 2023.

4.3 SSC Highlights

Matters Arising

- The SSC noted an update on the 7 November Greenhouse Day.
- The SSC noted updates on two material changes notified by Users as per SEC Section G3.9.
- The SSC noted an update on the SSC Threat Assessment.
- The SSC approved the SSC meeting dates for 2024.
- The SSC noted an update on the NCSC Smart Energy Information Exchange (SEIE).
- The SSC noted an update on a potential Application for Trial Device Approval.
- The SSC noted that a discussion around SMETS1 UTRN Distribution is expected at a future meeting.
- The SSC discussed whether there is an SSC interest in MP224 'SEC Performance Assurance Framework'.
- The SSC was informed that an 'Amber' version of the SSC Security Briefing Slides are being prepared that may be shared with relevant people.
- The SSC noted an update on the Quantum Project.

Remediation Plan Update

SECAS presented the SSC with an update on User Security Assessment Remediation Plans with a focus on Users who are persistently failing to meet the dates for remediating security non-compliances agreed with the SSC under SEC section G8.27

DCC CIO Assessment

The SSC noted an update on the DCC CIO Assessments.

DCC CIO Forward Look

The SSC noted an update on upcoming DCC CIO Assessments.

CPA Monitoring

SECAS presented the SSC with an update on withdrawn Certificates and the expiry of Commercial Product Assurance (CPA) Certificates. The SSC were also presented with the latest Pre-Payment (PPM) Report and updates to CPA Remediation Plans.

CPA-Related Issues

The SSC Chair presented an update on CPA-related issues, including a request from a Manufacturer relating to the definition of Triage System Interfaces and approved the agenda for the SCIRS meeting.

CPA Certificates and Risk Review

The SSC Chair presented the SSC with an update on CPA Certificates and outstanding CPA Risk Reviews.

Network Operator Assessments

The SSC discussed the scope and proportionality of Network Operator Security Assessments and offered a meeting with Network Operators to understand the nature of the concerns.

Certificate Management ECoS & Recovery

The DCC presented the SSC with an update on Enduring Change of Supplier (ECoS) and Recovery Certificate Management

PKI-E Programme

The DCC presented the SSC with an update on the Public Key Infrastructure – Enduring (PKI-E) programme.

DSP Data Systems update

The DCC presented the SSC with an update on the Data Service Provider (DSP) Data Systems High-Level Requirements.

DCO FIPS 140-2 (Level 3) Compliance

The DCC presented the SSC with an update on Dual Control Organisation (DCO) Tech Refresh and FIPS 140-2 (Level 3) Compliance.

Testing Automation Framework Update

The SSC noted an update on the Testing Automation Framework (TAF).

Risk Assessment Review 9a Outcomes

The SSC noted the Risk Assessment Review 9a Outcomes.

Quarterly Standards Review

SECAS presented the SSC with an update on the Quarterly Standards Review.

AROs outside of the UK

The SSC Chair approved a request for Authorised Responsible Officers (AROs) to be based outside of the UK subject to mandatory security screening and avoiding high risk countries and regions within a country.

Agreed Interpretations Approval

The SSC was provided with the latest updates to the Agreed Interpretations and agreed to bring them back to the 8 November SSC for approval.

CH&N 4G/WAN:

The SSC noted a DCC update on Communications Hub and Networks (CH&N) 4G and Wide Area Network (WAN).

DCO Re-procurement

The DCC presented the SSC with an update on DCC update on Dual Control Organisation (DCO) Re-procurement.

DCC Updates

The SSC noted the following updates and reports provided by the DCC for information:

- Post Commissioning Report
- Anomaly Detection Report

4.4 SSC CPA Issue Resolution Sub-Group (SCIRS)

At the October 2023 SCIRS meeting the following issues were discussed.

SMKI Certificates to be used in Use Case 004 (Factory Reset)

The SCIRS Chair provided an update on an issue raised by the DCC relating to Devices Triaged under Use Case 004, as the Install and Commission (I&C) may fail due to the current DSP processing pattern.

The DCC proposed that an Enduring Solution via a SEC modification to update the industry process to pre-notify the DCC about Certificates installed in Devices that have been Triaged before the (re) Installation and Commissioning (I&C) takes place and DCC proposed an internal Interim Solution.

SMKI Certificates to be used in Use Case 005 Comms Hub Refurb

The DCC provided an update on the SMKI Certificates to be used in Use Case 005 refurbishment for Communications Hubs (CHs), advising that it has been in discussions with SSC about best practice for the continued smooth re-installation of refurbished existing and 'in-life' 2G and 3G CH's. Advice on 4G Comms Hubs will be included in updated SSC Guidance.

Use Case 005 (Communications Hub Refurbishment) Update

The SCIRS Chair provided an update on User Case 005, advising that updates will be needed to the CPA Triage SC Overlay document; and the 'SSC Guidance on Device Security Assurance and Triage' to support Use Case 005. The SCIRS Chair noted that the SSC has commissioned work to review both documents for review and approval.

Future CPA Scheme

The SCIRS Chair provided an update on the future CPA scheme, noting DESNZ will continue to sponsor the scheme, and the SSC will become the Scheme Owner with responsibility transferring from NCSC. The SSC will procure an independent Scheme Operator and Test labs will continue to operate as they do now, and that no changes are expected to alter the existing structure of the scheme for the award of initial and renewal CPA Certificates following evaluation of compliance with CPA Security Characteristics.

SMKI Certificate Management Update

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DCC presented SCIRS with an update on:

- **MP168** (IKI file signing for CPL entries) – DCC provided an update on its progress implementing the provisions to allow the use of IKI to sign CPL Submissions. The IKI file signing is currently delayed whilst the DCC makes arrangements to publish the Certificate Revocation List (CRL) and enables the file-signing to work with e.g. Microsoft products. SCIRS Chair noted that the SECAS Security Team are involved in the publishing of CPL Guidance to support the IKI file signing. The CPL guidance will be updated once the DCC has resolved the outstanding problems, and a three-month grace period will start from the point at which the CPL Guidance is published.
- **TCoS to ECoS Certificate expiry** – DCC explained that the governance around TCoS to ECoS Certificate expiry will be defined and established within the usual SEC governance paths (SMKI PMA/SSC).
- **ACB impacting I&C related changes** – DCC provided an update on the interim solution and enduring solutions for ACB Certificates.
- **ECoS Certificates** – workshops have been scheduled to investigate options for the inclusion in the new manufacturing pack, however this will not have any impact on Suppliers.

CPA Risk Review Update

SCIRS Members noted an update on the Risk Review pilot and the CPA Risk Review Security Analysis Template (SAT) document.

4.5 SMKI PMA

SoLR Update

The SMKI PMA Chair confirmed that there have been no Supplier of Last Resort (SoLR) events since the previous SMKI PMA meeting. The SMKI PMA agreed to revoke the SMKI Certificates for a SEC Party which has recently had its Gas Supplier Licence revoked, if the SEC Party has acquired SMKI Certificates.

Test Exercise to Correct Incorrect Certificates

The DCC presented a progress update on the Test Exercises to Correct Incorrect SMKI Certificates. The SMKI PMA noted the Recovery Exercise will take place on week commencing 6 November 2023 and agreed SECAS will communicate this to Parties.

Certificate Management Strategy

The DCC presented an update on the Certificate Management Strategy and the SMKI PMA agreed to hold a further workshop, held on 19 October, to discuss the details further.

TSP Apex Testing

The DCC provided an update on Trusted Service Provider (TSP) Apex testing. The SMKI PMA noted the update and requested further clarity from the DCC on testing plans.

PKI Enduring Programme

The DCC presented options for the PKI Enduring Programme and the SMKI PMA had no objections to the DCC proposal to procure a portable solution.

TCoS to ECoS Private Key Transfer Process

The SMKI PMA endorsed the ex-committee decision to approve the TCoS-ECoS Private Key Transfer process as proposed by the DCC, in line with SEC Section G2.221.

tScheme Audit Report

The SMKI PMA agreed to set the assurance status as 'approved' in relation to the Final Operating Capability (FOC) SMETS1 Service Provider Public Key Infrastructure (S1SPKI) Services, in line with SEC Appendix AO, section 4.4(b)(i) and to notify all Parties in accordance with Section 4.4(d).

DSP Data Systems Update

The DCC presented the DSP Data Systems High-Level Requirements and the SMKI PMA agreed to review the requirements and provide comments by 18 October 2023.

5. SMDA Sub Committee

The SMDA Sub-Committee (SMDASC) election concluded on 8 November 2023. SEC Parties were asked to nominate representative for five seats, three Other SEC Party, one Large Supplier and one Network Party, in order to split the term duration for membership.

The following candidates who have been selected by their Party Categories as SMDASC Members:

- Adam Cooke (Macquarie) – Other SEC Party MAP representative
- Andrew Willman (BEAMA) – Other SEC Party ESME Manufacturer representative
- Martin Bell (EUA) - Other SEC Party GSME Manufacturer representative

No nominates were received for the Large Supplier or Network Party representative seats, therefore these seats will remain vacant until a nomination is received. Members will next meet on 5 December 2023 where the outcomes and requirements discussed at the SMDA Review Tranche Two Workshop held on 24 November 2023, will be discussed for recommendation to the SEC Panel.

The SMDASC will review the Scope and Impact Assessment for Double Band Device testing, a proposal for Communication Hub flexibility and DCC Communication Hub reporting.

The SMDASC will also be asked to provide its feedback on proposals to introduce 4G Communication Hubs as part of SMDA Assurance testing. In addition to this, the aim is that these Communication Hubs will be delivered for independent SMDA testing pre-User Integration Testing (UIT) so that maximum testing benefit can be delivered to the DCC and its Users.

6. Recommendations

The Panel is requested to **NOTE** the contents of this paper.

Rebecca Sawyer; SECAS Team
21 November 2023

Attachments:

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