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Action:	For Information
<u>Acronyms and Defined Terms SEC Glossary</u>	

Operations Report – October 2023

1. Purpose

The Operations Report is a monthly update on SECAS activities undertaken in support of the Smart Energy Code (SEC) during October 2023.

2. SECAS Service highlights from October 2023

This report covers the following notable highlights from the previous month:

- **Party Engagement** – We held an ad-hoc OSP Issues Call on 13 October to discuss OSP industry issues brought forward by Chameleon Technology in addition to the regular monthly OSP Engagement Call on 20 October. We held a ‘Transition to 4G’ webinar on 7 November 2023.
- **Security and Privacy** – We published v2.12 of the Security Controls Framework, facilitated Certificate Management Workshop with SMKI PMA and DCC; and progressed to the bid evaluation stage of the Security Risk Assessment project procurement.
- **Tech Ops** – The team have continued to work with the DCC to obtain and update on the DSP and FSM programmes.
- **Change Management** – we had 34 modifications open at the end of October; more information on modifications and releases can be found in the SEC Change Update Report.
- **Project & Governance** – we facilitated 14 Panel, Sub-Committee and Working Group meeting. We have also commenced the SEC Panel budget setting process for the 2023/24 Regulatory Year and published the monthly Industry Events Calendar. This calendar contains meetings and consultations across the SEC, DCC, DESNZ and Ofgem.

3. Recommendation

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

Rebecca Sawyer; SECAS Team; 21 November 2023

Appendices

Appendix A – Post Commissioning Information Report (August 2023) (RED)

Appendix B – Programme Assurance Reporting (GREEN)

4. Market Entry, Exit and updates

4.1 SEC Parties

Of the existing SEC Parties within the SEC, there are:

- 18 Large Suppliers, of which there are 11 voting groups;
- 100 Small Suppliers, of which there are 84 voting groups and 56 Live Users;
- 22 Gas Network Parties, of which there are 14 voting groups;
- 31 Electricity Network Parties, of which there are 20 voting groups; and
- 154 Other SEC Parties, of which there are 134 voting groups.

4.2 Market Entry and Exit

The following presents the number of Parties who entered and exited the market over the past 12 months. It also displays the Events of Default where one SEC Party defaulted in October 2023.

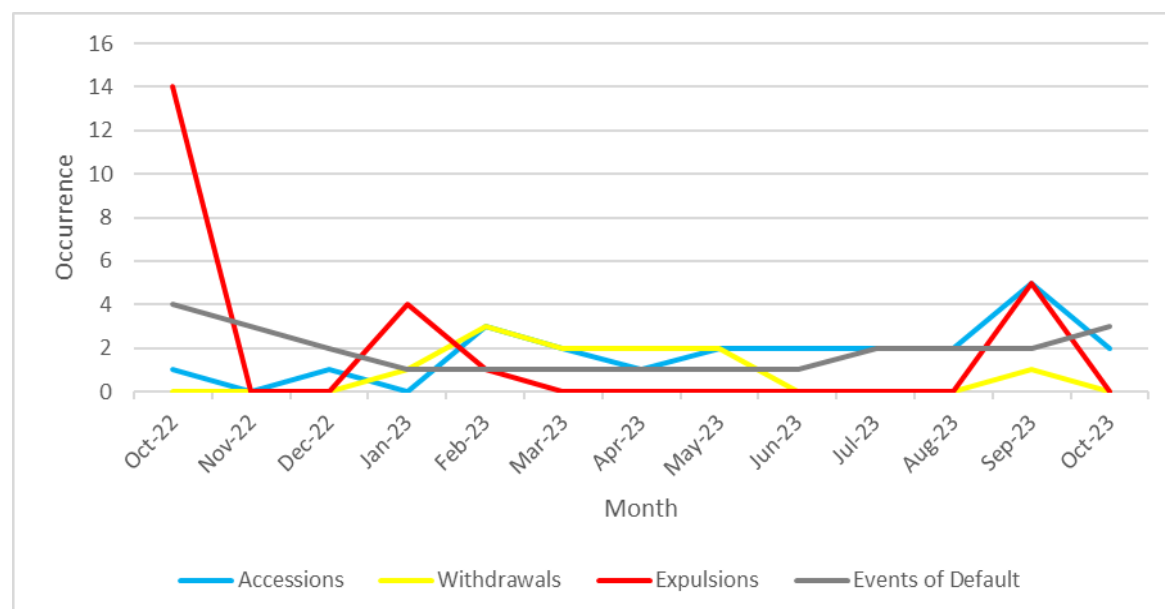


Figure 2: Accessions, withdrawals, expulsions and Events of Default in the past 12 months

In October 2023, two new Parties acceded to the SEC.

Status	Party Name	Party Category
Acceded	Green Generation Energy Networks Cymru Limited	Other SEC Party
Acceded	ELPS Energy Ltd	Other SEC Party

Table 1: Parties that entered the SEC in the previous month

4.3 User Entry Process (UEP) completion

Two SEC Parties completed the UEP in October 2023. All current Parties that have completed the UEP can be viewed in the [SEC Parties List](#).

4.4 Testing Updates

Since the last Panel meeting:

- No new SEC Parties have completed **SMKI and Repository Entry Process Testing (SREPT)**;
- Two new SEC Parties have completed **User Entry Process Testing (UEPT)**; and
- No new SEC Parties have completed **SMETS1 Eligibility Testing**.

5. Monthly SECAS Highlights

Security Statistics		Modification Statistics		Project & Governance	
100% Assessment compliance	6 SECAS Initial validations	5 New modifications raised	34 Modifications undergoing assessment	100% Meeting notice 5WD in advance	100% Papers issued 5WD in advance
4 Assurance or Compliance Status' set	10 Assessments underway	1 Modifications decided upon	0 Modifications implemented	92% Minutes issued 5WD after meeting	14 Meetings held
Party Engagement		Technical Operations			
6 LinkedIn posts	222 Active SEC newsletter readers	1 New CPL Versions	5 New CPL Entries		
2 Accessions	3 Webinars scheduled	2 New PPCL / EPCL Versions	0 CPL Removals		

October 2023 Snapshot

5.1 Security and Privacy Update

- We hosted two [Security Sub-Committee](#) (SSC) meetings in October; the monthly (SMKI PMA) and the SSC CPA Issue Resolution Sub-Group (SCIRS) meeting.
- We SMKI Certificate Management Strategy Workshop on 19 October, with a sub-group of the SMKI PMA (SMKI Chair, TABASC Representative, SMKI Specialist and the DESNZ Security Representative) to progress more detailed discussions and enable final recommendations for a future SMKI PMA meeting.
- We commenced the evaluation stage of the procurement for the SSC's 10th Iteration Risk Assessment issuing following the bid submission deadline of 27 October. Evaluation is due to complete in November and the preferred bidder recommendation will be made to Panel.
- We facilitated a third check-in meeting with the SSC Sub-group for the Quantum Project and update SSC on project progress. The final check-in is in December and the project is still on track to complete by the end of the year.
- We published [v2.12](#) of the Security Controls Framework on 4 October, to include changes to Appendix F for the addition of G3.1 and G3.2 within the scope of the Verification User Security

Assessment and changes to Appendix B to include information on the use of automated tools for risk assessments, in alignment with G5.14 and G5.15.

- We finalised arrangements for a User CIO Greenhouse Day on 7 November for Panel and SSC Members, which will focus on issues such as emerging technologies, AI, information security and consumer data and consent.
- We also finalised arrangements for the latest Security and Privacy Webinar on 23 November. This session will be aimed at those newer to the industry and the assessment process, however all parties who undergo annual assessments are welcome to attend the event to provide a useful refresher and an opportunity to engage with the User CIO and or the Validation Experts.
- To assist Users in the security assessment process, we facilitated five calls with Users in October to outline the processes and guidelines involved in both the assessment process and remediation plan stages.

5.2 Change Management Update

- At the end of October, we had 34 open proposals going through the modification framework. Five new proposals were raised in October, and we continue to work on several further new submissions from Proposers. More detailed information on modification progression and the Change Sub-Committee (CSC) and Change Board's decisions is available in the SEC Change Update Report.

5.3 Project & Governance Update

In October, we facilitated 14 Panel, Sub-Committee and Working Group meetings:

- The October SEC Panel meeting 121 was hosted at the DCC's testing facilities at Brabazon House, the Panel received a tour of the Technical Operations Centre and the Security Operations Centre.
- The DCC provided the Panel with updates on the Green Book Treasury process and Business Case sequencing and its plans to implement an ex-ante regulatory structure which will provide greater visibility and transparency of costs and how costs are attributed to DCC services.
- The Panel endorsed entry to mass manufacture for Toshiba Comms Hub firmware and Endorsed live operation for the WNC Comms Hub following resolution of a Severity 3 issue on User Integration Testing ex committee for the GBCS 4.1 programme.
- The Communications Transition Group had its ninth meeting on 20 November. DCC provided updates on the overall 4G Transition programme delivery, key risks, its network coverage assurance approach and strategy, progress on VMO2 3G sunseting and reminded members of an upcoming mesh workshop on 29 November.
- The November Industry Events Calendar is published on the SECAS website monthly and can be found on the bottom of the meetings calendar page on the SEC website [here](#).
- The SEC Website Project has made good progress with suggested options being presented to SEC Panel this month and a request for approval to progress to the delivery phase.

The monthly Programme Assurance Report to update the SEC Panel and SEC Parties monthly on the status of the DCC Programmes is provided as Appendix B. It outlines activity carried out since the last update, key milestones and planned engagement over the next quarter as well as changes to the stages of the Programmes and artefacts received as part of the programme life-cycle.

5.4 Party Engagement Update

- The Other SEC Party Engagement Call took place on 20 October 2023, where 29 attendees joined to discuss Panel items, draft OSP Issues to add to the Issues Log relating to Tech Ops,

Security and an update on OSP affecting SEC Modifications. An extra OSP Engagement Session took place on 13 October 2023 following this to provide a more detailed overview of raised OSP issues.

- A Communications Transition Group (CTG) webinar took place on 8 November 2023 which presented an overview of the CTG, who they are, what they do and what you could expect to see in the short to medium term future by the CTG Chair, Jason Stevens. The webinar materials can be found [here](#).
- The latest SEC Newsletter received 222 views. You can register to receive the monthly SEC Newsletter by using the registration form at the bottom-right of this [webpage](#). All previous newsletters can be viewed [here](#).

The [SECAS Helpdesk](#) offers an email and telephone service to anyone requiring advice. Most contact is made by email, with volumes illustrated in Figure 3. We received 14 telephone queries over the past month.

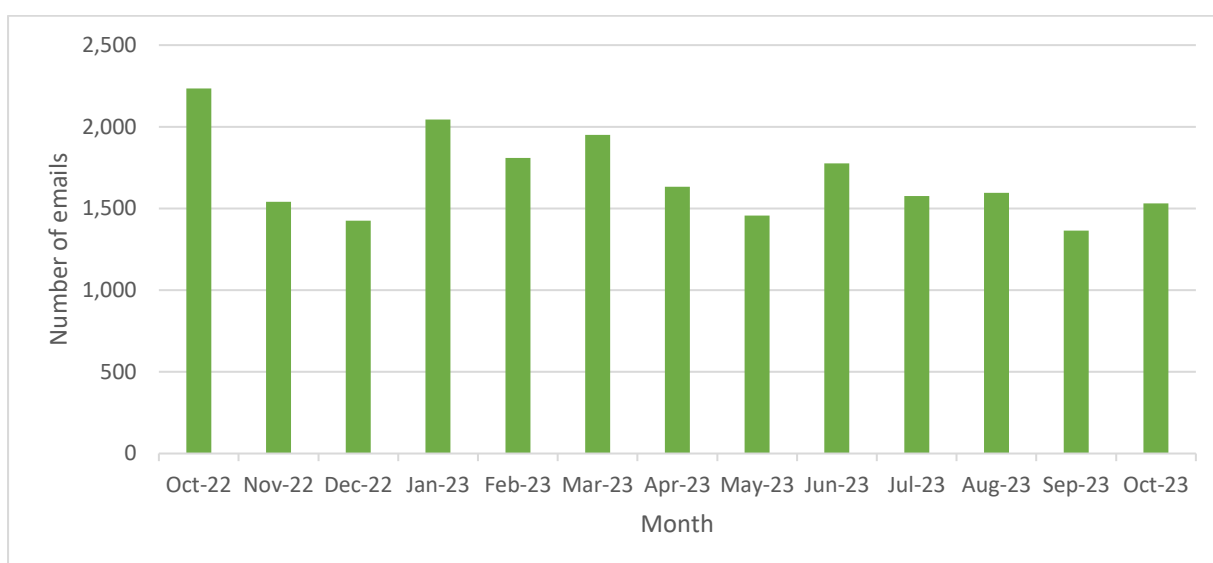


Figure 3: SECAS Helpdesk Emails over the past 12 months

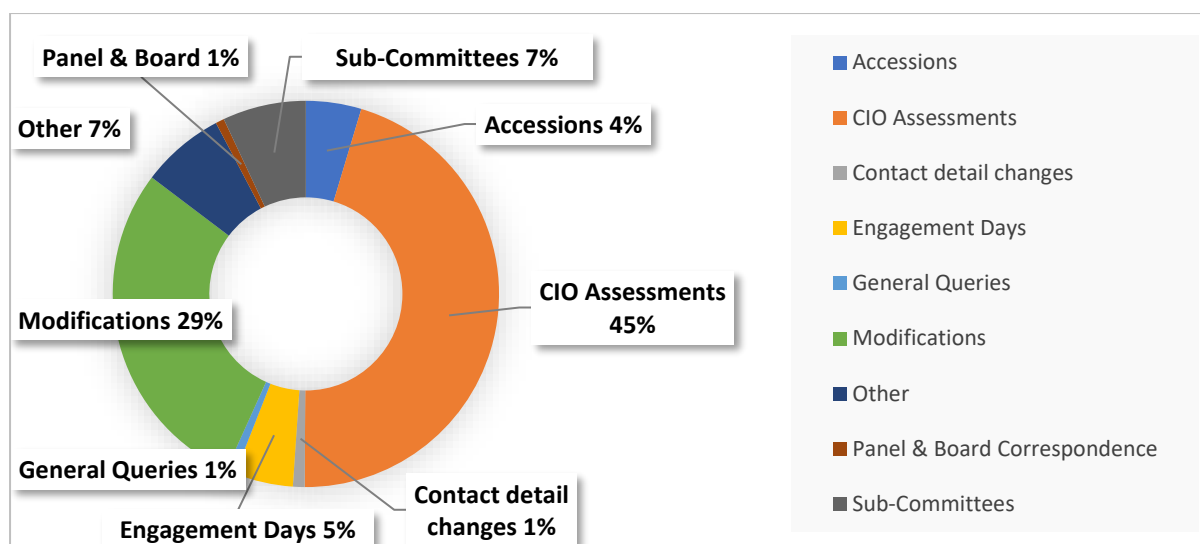


Figure 4: The number of SECAS Helpdesk emails received per topic in the previous month

- The SEC website received over 23,150 page visits in October 2023. The top five viewed pages in the month were:
 - [Home Page](#)
 - [The Smart Energy Code](#) - (Codeworks, Consolidated SEC & SEC Document Log)
 - [Modifications](#) - (Modifications Tracker)
 - [My Login](#)
 - [Document Download Centre](#)

5.5 Technical Operations Update

The Technical Operations team in SECAS provides support to the Panel Sub-Committees. This month we have reviewed the DCC update on the DSP programme and the new Future Service Management (FSM) programme, looking at the DSMS re-procurement.

- The team continued to work with the DCC to obtain and update on the DSP and OMS & Logistics and FSM programmes.
- The OPSG reviewed the plans for the 1 January 2024 price change event.
- The team has been reviewing the requirements for SECMP0028 '[Prioritising system messages](#)' which is focused on southbound messaging.
- The team has been looking at the DCC proposal for demand forecasting and has sought feedback from OPSG and TABASC members.
- We continue to monitor the progress of GBCS 4.1 readiness through TAG and OPSG.

The team also oversees the production and publication of several Products lists. The graph below sets out the number of SEC product list versions which SECAS has published over the past 12 months by type. This month the DPL was the most produced list:

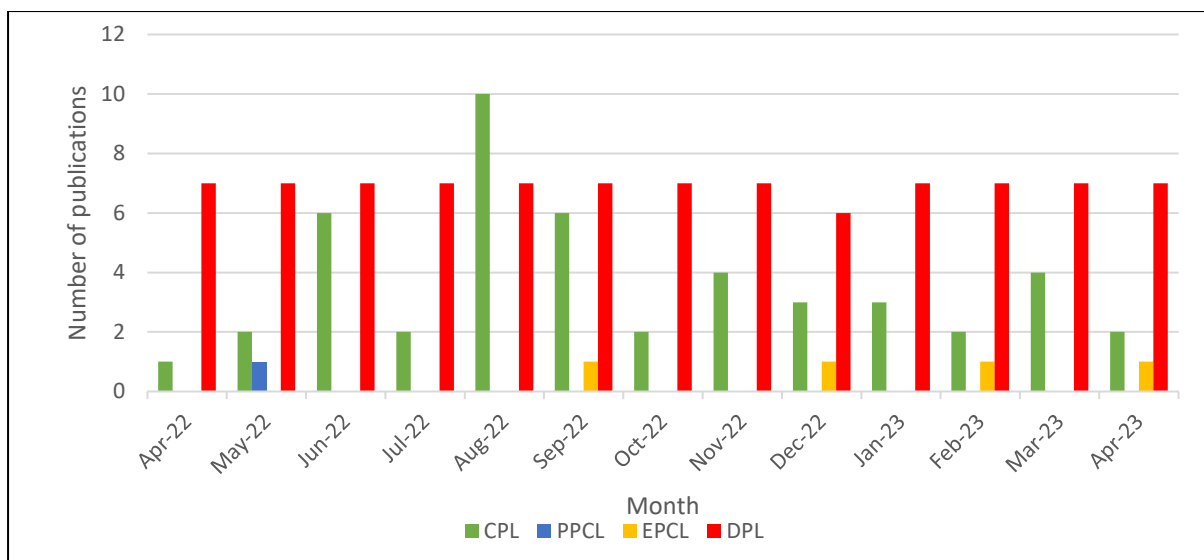


Figure 5: The number of lists that SECAS has produced each month, over the past 12 months.

Useful links: [Central Products List](#), [Pending Products Combination List](#), [Eligible Products Combination List](#) and [Deployed Products List](#)

The Performance Measures Review Group (PMRG), a sub-group of the OPSG, had its final meeting in March to discuss the methodology of CSP Performance measures; a number of clarifications from DCC were sought and some actions were not concluded in this final meeting. As a result, there will be a discussion in the OPSG 93 reporting meeting to determine next steps for resolution of PMRG.

5.6 DCC SEC Panel Reports Summary

The Operations Group (OPSG) conduct a monthly review of the DCC SEC Panel Reports that have been delegated by SEC for the OPSG to approve or reject the commentary and raise any further issues that should be highlighted to the Panel. The Security Sub-Committee also reviews the Post-Commissioning Report.

Post-Commissioning Report

The DCC presented the latest Post-Commissioning Report for September 2023 to the SSC on 25 October. The discussion around this item was classified as **RED** and is therefore not contained within this report.

This report has a **RED** classification and distribution is limited to the SEC Panel only provided as Appendix A – Post Commissioning Information Report (September 2023) (**RED**).

Registration Data Provider (RDP) Incidents

The DCC is required to provide a monthly report related to the time it has taken to resolve RDP Incidents where the DCC is responsible for resolution, but RDP input is required to do so (SEC Appendix AG 2.5.10).

Registration Data Incidents – September 2023

- There was 4 new Incidents opened in the month of September.
- All incidents from August have now been resolved following Registration Data corrections.
- 6 Incidents were reported as resolved within the month.

Performance Measurement Report (PMR) August 2023

- Four Code Performance Measure (CPM) were reported below Target Service Level: CPM3A CSP N, was below the Minimum Service Level at 87.46%. The DCC state collaboration on

several initiatives between DCC Service Management Team, DSP and Arqiva is on-going and confirm workshops are in the process of being scheduled between CSP, DCC and Service Users

- CPM3A CSP C&S, was below the Minimum Service Level at 90.00%. The DCC state it's Service Management Team are still working with the DSP and VMo2 teams on several initiatives to identify what is impacting the reported performance and deliver improvement.
- CPM4 achieved 75.00% and was below Minimum Service Level. The DCC report that CPM4 failed following a Category 1 Major Incident (INC000001076111). The DCC state failure occurred following a complex issue within DSP which caused the router to crash and go into an unresponsive state. A manual failover was initiated from the Primary router to the Secondary router in the secondary data centre which restored service.
- CPM6 achieved 98.96% and was below Minimum Service Level. The DCC report that CPM6 failed due to the same reasons as CPM4 following the Category 1 Major Incident (INC000001076111).
- The report notes that there were two Category 1 and two Category 2 Incidents closed in August 2023. One Incident was excluded from the August 2023 performance.
- The Service Levels achieved for CPM1, CPM2, CPM3, CPM5, CPM7 and CPM8 are all above the Target Service Level for August 2023.

5.7 Smart Meter Device Assurance (SMDA) Update

There are currently 43 Devices on the Device Assurance Register (DAR) split out by Device type as:

- 28 ESMEs
- Six PPMIDs
- Nine GSMEs

5.8 SEC Meeting Details

The table below contains links to the [SEC meetings](#) (and their associated documents) held in **October 2023**:

Date	Meeting
2 Oct	Strategic Working Group 17
4 Oct	SEC Monthly Working Group Meeting - October 2023
5 Oct	TABASC Meeting 94
9 Oct	Communications Transition Group 8
10 Oct	Operations Group 104
11 Oct	SECPMA Meeting 110
11 Oct	SSC Meeting 179
17 Oct	Change Sub-Committee Meeting 56
19 Oct	TABASC Meeting 94X
20 Oct	Other SEC Party Monthly Engagement Call – October 2023
23 Oct	Operations Group 105
24 Oct	SEC Panel Meeting 121
25 Oct	SSC Meeting 180
25 Oct	TAG Meeting 107
25 Oct	Change Board Meeting 83

Table 2: A summary of all SEC meetings held in the previous month