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<u>Acronyms and Defined Terms SEC Glossary</u>	

Operations Report – November 2023

1. Purpose

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

2. SECAS Service highlights from November 2023

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

- **Party Engagement** –We held three webinars in November, ‘Transition to 4G’ webinar on 7 November 2023, SEC Change Webinar – MP253 ‘Traffic Management – User Actions Required’ on 15 November and ‘Security and Privacy Webinar with User CIO and Validation Experts’ on 23 November 2023. You can find the slides and recordings [here](#).
- **Security and Privacy** – We published v2.4 of the Agreed Interpretations; completed the Security Risk Assessment project procurement; and facilitated two industry events (Security and Privacy Webinar and User CIO Greenhouse Day).
- **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 33 modifications open at the end of November; more information on modifications and releases can be found in the SEC Change Update Report.
- **Project & Governance** – we facilitated 11 Panel, Sub-Committee and Working Group meetings. We have also 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; 12 December 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;
- 97 Small Suppliers, of which there are 84 voting groups and 53 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
- 155 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 November 2023.

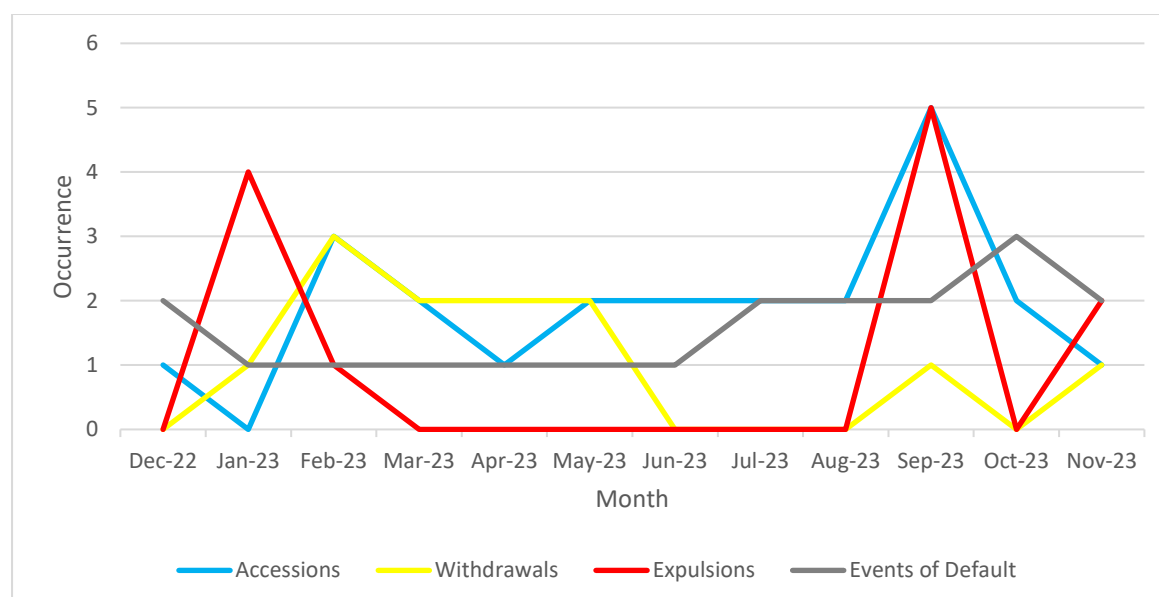


Figure 2: Accessions, withdrawals, expulsions and Events of Default in the past 12 months

In November 2023, one new Party acceded to the SEC, two Parties were expelled and one Party was withdrawn.

Status	Party Name	Party Category
Acceded	C/L Refurbishments Ltd	Other SEC Party
Expelled	PFP Energy Supplies Limited	Small Supplier
Expelled	Social Energy Supply Limited	Small Supplier
Withdrawn	AvantiGas On Limited	Small Supplier

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

4.3 User Entry Process (UEP) completion

One SEC Parties completed the UEP in November 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)**;
- One new SEC Party 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	9 SECAS Initial validations	1 New modification raised	33 Modifications undergoing assessment	100% Meeting notice 5WD in advance	100% Papers issued 5WD in advance
6 Assurance or Compliance Status' set	6 Assessments underway	1 Modifications decided upon	6 Modifications implemented	92% Minutes issued 5WD after meeting	11 Meetings held
Party Engagement		Technical Operations			
3 LinkedIn posts	228 Active SEC newsletter readers	1 New CPL Versions	5 New CPL Entries		
1 Accession	3 Webinars delivered	2 New PPCL / EPCL Versions	0 CPL Removals		

November 2023 Snapshot

5.1 Security and Privacy Update

- We hosted two [Security Sub-Committee](#) (SSC) meetings in November; the monthly (SMKI PMA) and the SSC CPA Issue Resolution Sub-Group (SCIRS) meeting.
- Following SSC approval of updates to the SEC Section G Agreed Interpretations, we published the Agreed Interpretations v2.4 on the SEC [website](#). Updated sections include Section 3.8 (to clarify the notification process for a material change); Section 5 (to clarify the obligations in SEC Sections G3.23 and G3.25 (Supply Sensitive Checks)); and corrections to Figure 3 in Section 7.
- The SSC's Threat Assessment Report was completed and approved at SSC on 22 November and will be included in the artifacts for review as part of the next End-to-End Security Risk Assessment Iteration 10 (RA10)
- We completed the procurement for RA10 and SEC Panel approved the SSC's preferred bidder recommendation on 28 November. The project plan will be presented to SSC in January for approval following the artifacts review and scoping stage now underway.

- We facilitated a User CIO Greenhouse Event on 7 November for Panel and SSC Members, which focused on three key discussion topics – Consumer Data and Consent; Crisis and Resilience best practice; and Emerging Technologies (such as Artificial Intelligence (AI)) - and their impact on the Security and Privacy Assurance approach.
- We facilitated a Security and Privacy Webinar on 23 November aimed at those newer to the industry and the assessment process, however all parties who undergo annual assessments were invited to attend the event to provide a useful refresher and an opportunity to engage with the User CIO and/or the Validation Experts. Over 50 industry professionals attended the call, and feedback has been overwhelmingly positive. The slides and a recording of the event are available on the [SEC website](#).
- We continue to assist User's in the security assessment process, scheduling a number of support calls with Users in November 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 33 open proposals going through the modification framework. One new proposal was raised in November, 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 November, we facilitated 11 Panel, Sub-Committee and Working Group meetings.

- At the November SEC Panel meeting 122, the DCC presented the Panel with an update on the SMETS1 replacement Strategy and the Panel noted the DCC's strategy and confirmed that the Communications Transition Group would be the appropriate Sub Committee to seek industry agreement.
- The DCC presented the Panel with a request to endorse its preferred Option for Public Key Infrastructure Enduring Solution to be taken forward in the Outline Business Case. The Panel have agreed to endorse Option 3, whilst noting that, should cost estimates diverge, there should be a clearer articulation of the benefits of Option 3.
- The DCC presented the Panel with the context of the Data Service Provider (DSP) contract extension as the need to ensure service continuity. The Panel noted that no material objections to a contract extension have been raised at the Sub Committees and noted the discussions which have taken place with industry.
- SECAS presented the Panel with its draft Panel Budget for 2024/25, the Panel provided feedback and recommended amendments. The Panel expect to receive an updated Draft Panel Budget at the December 123 meeting.
- SECAS provided the Panel with a summary of the Design Phase output of the Website and Document repository Project and presented its preferred option, providing evidence of its scoring on the procurement evaluation, and positive feedback on the collaboration and engagement of the preferred provider during the process. The Panel have agreed with the preferred option and authorised the Chair to approve the final Business Case and Project Initiation Document,
- The Communications Transition Group had its tenth meeting on 11 December. The DCC provided an update on the CH&N programme, including a general financing update. Engage presented an overview of changes made to the Draft Overall Transition plan and Factsheets,

which were baselined, and SECAS provided an overview of the Asset Life Project Brief, which CTG Members will consider recommending for progression Ex-Committee.

- The Industry Events Calendar is published on the SECAS website on a monthly basis. The December version can be found on the bottom of the meetings calendar page on the website [here](#).

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

- A Transition to 4G 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 SEC Change Webinar – MP253 ‘Traffic Management – User Actions Required’ was held on 15 November 2023 which took a deeper dive into [MP253 ‘Traffic Management – User Actions Required’](#). The session covered the background to the issue, the possible solution options ahead, potential impacts on SEC Parties and the proposed implementation timeline. The webinar materials can be found [here](#).
- A Security and Privacy Webinar with User Competent Independent Organisation (CIO) and Validation Experts took place on 23 November 2023 where SECAS held a session with Security and Validation experts to offer an overview of the Security and Privacy assessment process. The content shared valuable tips and advice to help you prepare SEC Parties for their annual assessments. The webinar materials can be found [here](#).
- The latest SEC Newsletter received 228 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 12 telephone queries over the past month.

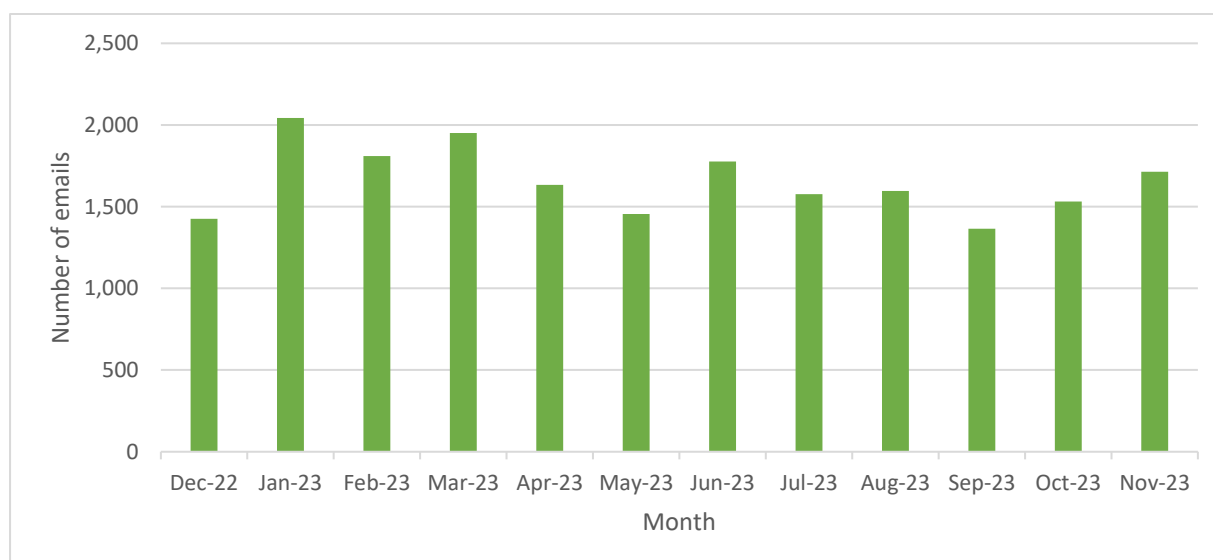


Figure 3: SECAS Helpdesk Emails over the past 12 months

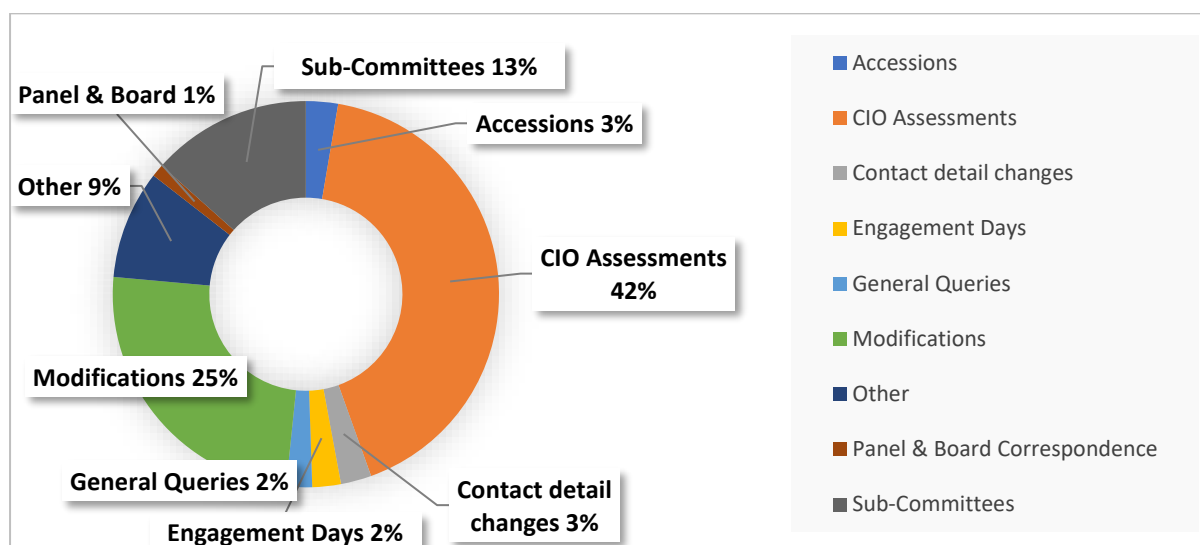


Figure 4: The number of SECAS Helpdesk emails received per topic in the previous month

- The SEC website received over 22,880 page visits in November 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:

- Prepared draft responses for the Panel and Sub-Committees on:
 - [Ofgem's consultation on its draft determination on DCC's Price Control Submission](#)
 - [DCC's consultation on its revised delivery plan for DSP re-procurement](#)
 - [DCC's consultation on changes to the ICHIS](#)
- [Supported the SEC Panel chair as Ofgem engages industry on its emerging proposals for its review of the DCC Licence](#)
- [Provided expertise and secretarial support for TABASC, OPSG and TAG](#)
- [Undertaken an analysis of potential solutions that would provide a forum for optional, interactive sharing of information for SEC Parties relating to services under the SEC.](#)

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:

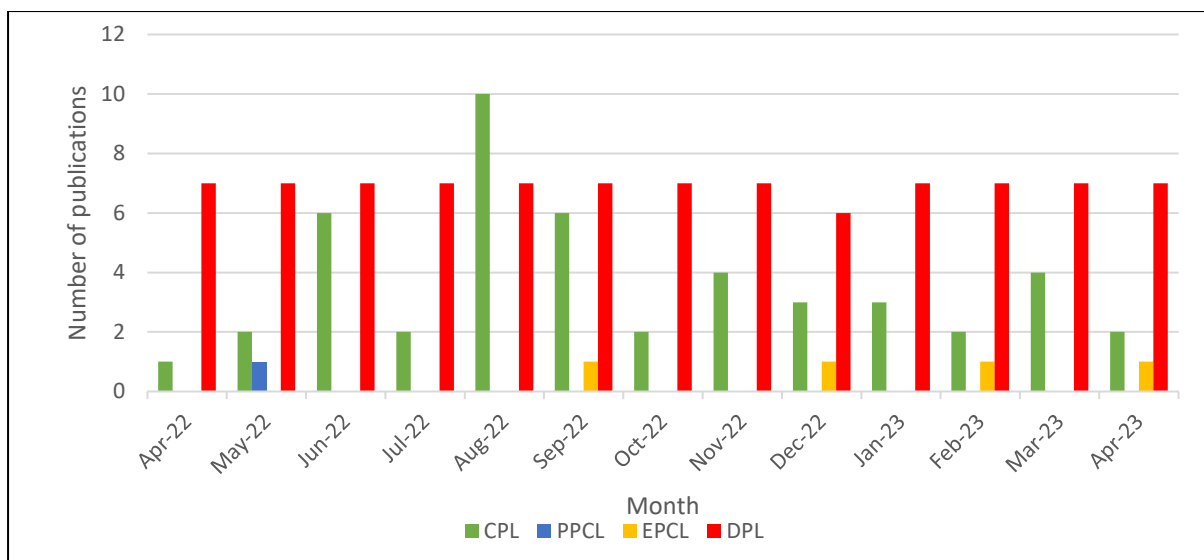


Figure 5: The number of lists that SECAS has produced each month, over the past 12 months.

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

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 October 2023 to the SSC on 22 November. 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 (October 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 – October 2023

- There were 6 new Incidents opened in the month of October .
- 2 Category 3 Incidents were historical updates for DNO's (Service Status update files) which have now been addressed .
- All incidents from previous months have now been resolved following Registration Data corrections .

Service Request (SR) Variance Reporting

Quarter 3 2023 Summary

In Q3 2023, 4,774,889,639 SRs were sent versus a forecast of 5,119,717,522. 93.26% of the forecast.

Quarterly Problem Report

Quarter 3 2023 Summary

The Executive Summary reports notes there were 46 Open problems at the end of the Quarter 2 with the following status:

Under Investigation:	11
Pending (fix identified but not applied):	30
Completed (fix applied, awaiting confirmation):	5

19 new Problem Records were created in this quarter, compared to 15 in the last quarter.

DCC Responsible Communications Hub Returns Report

Quarter 3 2023 Summary

The report notes that a total of 5,586 records were closed in Q3 2023, 2,997 in the CSP Central & South region and 2,589 in the CSP North region. Of these, 5,134 were attributed to Service Users (No Fault Found) and 452 were attributed to the DCC (Fault Found).

Performance Measurement Report (PMR) September 2023

- Two Code Performance Measure (CPM) were reported below Target Service Level: CPM3A CSP C&S (Power Outage Alerts) continued to be below the Minimum Service Level at 90.73% for the sixth month in a row. Similarly, Performance indicator 1 (Outage and Restoration Alerts) failed to achieve Minimum Service level in September for all SMETS2 regions for a sixth month in a row. Performance in these areas is being investigated by DCC and User expert groups.
- CPM4 which measures success in resolving Category 1 and 2 Incidents achieved 00.00% performance with the DCC reporting that CPM4 failed following a single Category 1 Major Incident.
- The report notes that there was one Category 1 Incident closed in September 2023. No key Incident was excluded from the September 2023 performance .
- The Service Levels achieved for CPM1, CPM2, CPM3, CPM3A CSPN, CPM5, CPM6 CPM7 and CPM8 are all above the Target Service Level for September 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

Three ESME Devices are expected to be submitted for Full Assurance testing in December 2023

A GMSE Device is expected to be submitted for Full Assurance testing in January 2024.

5.8 SEC Meeting Details

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

Date	Meeting
1 Nov	SEC Monthly Working Group Meeting - November 2023
2 Nov	TABASC Meeting 95
7 Nov	Transition to 4G Webinar
8 Nov	SECPMA Meeting 111
8 Nov	SSC Meeting 181

Date	Meeting
14 Nov	Operations Group 106
15 Nov	SEC Change Webinar MP253 'Traffic Management - User Actions Required'
16 Nov	Prepayment Metering Forum (PPMF) Meeting
20 Nov	Communications Transition Group 9
21 Nov	Change Sub-Committee Meeting 57
22 Nov	Change Board Meeting 84
22 Nov	SSC Meeting 182
23 Nov	Security and Privacy Webinar with User CIO and Validation Experts
24 Nov	Other SEC Party Quarterly Issues Call – November 2023
27 Nov	Operations Group 107
28 Nov	SEC Panel Meeting 122

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