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|---|---|
| **Paper Reference:** | **SECP_63_1412_22** |
| **Action:** | **For Information** |

# Operations Report – November 2018

## 1. Purpose

The Operations Report is a monthly update based on SECAS activities in support of the SEC. It includes a breakdown of days by driver, product and grade and provides commentary related to the activities undertaken by the SECAS team in November 2018.

## 2. Recommendation

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

**Hollie McGovern**

**SECAS Team**

**7 December 2018**

**Attachments:**

- Appendix A – Testing Update SREPT (**AMBER**)
- Appendix B – Testing Update UEPT (**AMBER**)

SEC
Smart Energy Code

Smart Energy Code

# SECAS Operations Report

## November 2018

# 1. Market Entry and Exit

This section provides an update on the progression of Users entering the market over the last month and those that have left. This month's update includes:

- Accessions;
- Parties who have completed the User Entry Process; and
- Parties who have completed testing activities.

## 1.1 Accessions

There have been no Accession Applications completed at the time of writing this paper, however there may be some raised in the week prior to the Panel meeting. The Panel will be updated accordingly.

## 1.2 Events of Default

There are **six** ongoing Events of Default which are detailed in SECP 63_1412_08. Three are ongoing defaults since the last meeting, and three have arisen since the November Panel meeting.

SECAS propose that the Panel expel one of the Parties in Default, following the revocation of its supply licences. This is discussed further in SECP 63_1412_08.

## 1.3 User Entry Process (UEP) completion

In order to access DCC services, eligible Users must fulfil a list of requirements that are detailed in SEC Section H1: User Entry Process. Once the requirements have been fulfilled, a Party must send evidence of the completion of these activities to SECAS.

Since the last SEC Panel meeting, the following SEC Parties have completed the UEP:

| SEC Party | Party Category | DCC User role(s) | Date of UEP completion |
|---|---|---|---|
| **Utilita Energy Limited** | UTL001 | Import Supplier, Export Supplier, Gas Supplier | 28/11/2018 |
| **Eddington Energy Supply Limited** | PPP000 | Import Supplier, Export Supplier, Gas Supplier | 21/11/2018 |
| **Igloo Energy Supply Limited** | PCL004 | Import Supplier, Export Supplier, Gas Supplier | 21/11/2018 |
| **Energy Saving Trust Enterprises Ltd** | PBJ000 | Other User | 14/11/2018 |
| **Xcel Power Ltd** | PKJ004 | Gas Supplier | 06/11/2018 |

***Table 1: Parties that completed UEP since the last SEC Panel meeting***

## 1.4 Testing Update

### SMKI and Repository Entry Process Testing (SREPT)

There have been 2 notifications of SREPT completion since the last SEC Panel meeting. The details are provided in Appendix A.

### Completion of the User Entry Process Testing (UEPT)

Since the last SEC Panel meeting, SECAS have been informed of 3 SEC Parties having successfully completed UEPT for a total of 7 User Roles. The details are provided in Appendix B.

## 1.5 Membership

The table below shows the number of Parties each month who have:

- Acceded to the SEC;
- Existing Defaults;
- Withdrew from the SEC; and
- Expelled from the SEC.

| | Dec 17 | Jan 18 | Feb 18 | Mar 18 | Apr 18 | May 18 | Jun 18 | Jul 18 | Aug 18 | Sep 18 | Oct 18 | Nov 18 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Accessions | 3 | 1 | 3 | 0 | 15 | 2 | 6 | 1 | 0 | 2 | 2 | 3 |
| In Default | 0 | 0 | 0 | 0 | 1 | 1 | 1 | 2 | 3 | 4 | 4 | 6 |
| Withdrawals | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 1 | 0 | 0 | 0 | 0 |
| Expulsions | 0 | 0 | 1[1] | 0 | 0 | 0 | 0 | 0 | 1[1] | 0 | 1[2] | 1[3] |

***Table 2: SEC Party Statistics***

At the end of the reporting month, there were **313** Parties to the SEC representing **246** Voting Groups, plus the DCC.

[1] Iresa Limited was expelled from the Code following revocation of its Electricity and Gas Supply Licences.
[2] Gen4U was expelled from the Code in October following the revocation of its Licences by Ofgem, having gone into administration.
[3] Usio was expelled from the Code following revocation of its Licences by Ofgem, having entered insolvency.

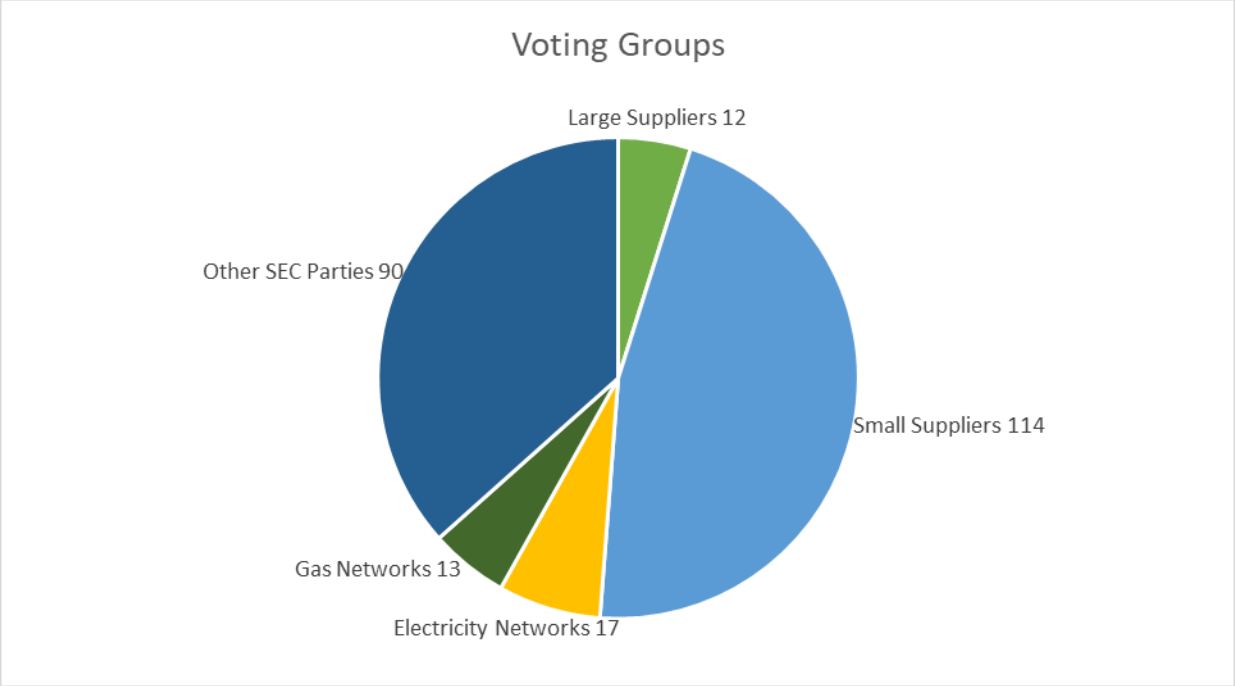


***Figure 1: Breakdown of SEC Party Voting Groups***

## 2. Monthly SECAS Highlights

### 2.1 Change Management Update

- We have been working with the DCC to assess the viability of a November 2019 SEC Systems Release, including obtaining the costs associated with this; a paper will be presented to the Panel at this month's meeting.
- We continue to work with the DCC to understand the full DCC implementation costs for Modification Proposals in an enduring world, to allow for fully informed decisions to be made by the Change Board and the Authority. We understand that this work will be informed by the outcomes of the DCC's cost benchmarking review, which is expected to be complete in early March 2018.
- SECMP0049 'Section D Review: Amendments to the Modification Process' is currently with the Authority for determination. At the October 2018 meeting, the Panel agreed that this modification should be implemented as soon as possible, and so the targeted implementation date for the 'pre-modification process' is 10 Working Days following the Authority's determination. The Panel has agreed the Terms of Reference for the Change Sub-Committee that this change will introduce, in preparation for modification approval; if approved, we will be able to then initiate a call for members immediately.
- Following the update at the November 2018 meeting, we have prepared a plan of the areas and activities we intend to review over the coming months. We are presenting this and the key milestones to the Panel for input at this month's meeting.
- We have refreshed our documentation for Modification Reports and will be introducing these from the December 2018 Panel meeting.
- We continue to progress a large number of changes through the process, with 25 modifications currently in the Refinement Process. We have reviewed the progression

timetables for all these modifications and will present an updated set of timetables for the Panel to consider at the January 2019 meeting.

### 2.2 Technical Support Update

- Six new versions of the Central Products List (CPL) were updated and published on the SEC Website in November 2018.
- We are working on a proposal for the development of a CPL Database to strengthen our infrastructure regarding this service, and improve the quality of data submitted.
- We published the Deployed Products List to the SEC Website four times in November 2018, following updates generated by the DCC.
- We have revisited the approach for SMETS1 Service Release content updates to the Business Architecture Document (BAD) and Testing Approach Document (TAD) now that the SEC documents are more stable. SECAS is currently updating the planned approach with the project work due to commence in January 2019. SECAS provided the number of downloads of each version of the BAD and TAD to help the TABASC consider their usefulness.
- We have written to the Centralised Switching Service (CSS) Programme Director based on the TABASC feedback associated with registration data and the impacts on the Technical and Business Architecture.
- The Effectiveness Review Questionnaire responses are under review in parallel with the responses from the SEC Panel Data Quality Request for Information.
- We have facilitated the TABASC's review of industry developments to assess potential impacts on the Technical and Business Architecture including assessing the challenges around export business processes, DCC Production Proving solution and DCC Traffic Management.
- SECAS developed a flowchart setting out the Technical Specification Issue Resolution Sub-group (TSIRS) and Change Sub-Committee interactions for the TABASC's consideration when the group is transitioned to operate under the SEC in mid-2019.
- The Testing Advisory Group (TAG) met twice during November. The DCC presented their ongoing work to close out Release 2, primarily looking at Device testing for sub-GHz devices. TAG is now working closely with the DCC to provide assurance for SMETS1 release, including establishing a smaller working group to develop the SMETS1 Migration Testing Approach Document.
- Following the Panel direction that the Ops Group act as a steering group for the resolution of Data Quality issues, we have developed a proposal and structure to take this forward. This was presented to the Ops Group at its meeting on 27 November 2018. Some points of clarification were requested, following which approval is expected post-meeting and work is expected to begin shortly.

### 2.3 Security and Privacy Update

- A new starter Angela Wallace joined the Security team in November. Angela will be helping to facilitate the assessment process and support other activities within the team.

- In November, we facilitated two Security Sub-Committee meetings, a SMKI PMA meeting and a SEC Party Engagement Day with the User CIO.

- This month, we have continued working with the User CIO to produce a forecast for the security and privacy assessments that are due to take place over the next year. This has allowed us to liaise with Users who have assessments due which will mitigate Users missing their assessment deadlines.

- The SSC has been working with SECAS and the User CIO to produce an update to the Security Controls Framework (SCF) – Version 1.14 – which was implemented in November. The new SCF includes changes that incorporate SECMP0044 'User Security Assessment of a Shared Resource', in addition to Verification User Security Assessments and Security Self-Assessment timetables.

- Version 2.2 of the Privacy Controls Framework (PCF) was also implemented in November 2018. The amendments to the PCF (in particular Appendix A) have been made to make it clear to Parties how they can be compliant with the SEC, even if they do not wish to utilise all of the functionality available to them as an Other User.

### 2.4 Party Support Update

- We will hold the final 'Spotlight on the SEC' seminar of 2018, on 11 December. We have been preparing for the event by identifying potential speakers, structuring the day, and managing the high level of interest from Parties. The agenda includes presentations from BEIS, the DCC, Alt HAN and SECAS, communicating important updates and developments. Participants have been particularly interested in the SMETS1 and SMETS2 developments, on which the DCC will present. Demand for places has been high, with over 30 bookings made two weeks before the event.
- There were a high number of Events of Default in November compared to previous months. There were 6 active events of Default due to non-payment of the DCC charges or where a company suffered insolvency. The team continue to work with the DCC and Ofgem on individual Defaults, and to develop supporting processes to resolve Events of Default. The expulsion of Usio Energy Supply Ltd was also processed.
- We have continued to process applications for those who wish to accede to the SEC, and for the User Entry Process. We continue to provide advice to SEC Parties and applicants on a wide range of queries related to the SEC.
- The SECAS newsletter continues to be distributed every two weeks in a shorter format than previously, and readership rates appear to be rising. Formal evaluation will take place in 2019.

## 3. SECAS Time Devoted by Service Area

The total number of resource days in November 2018 was **515.40.** The division of effort within the reporting month is shown at Driver level below:

| | Driver | Days |
|---|---|---|
| **Core** | Panel and Board | 51.23 |
| | Security and Privacy | 104.43 |
| | Modifications and Release Management | 139.85 |
| | Party Support and Engagement | 80.97 |
| | Technical and Operational | 129.02 |
| **Projects** | Centralisation Projects/Smarter Markets | 7.93 |
| | Technical Effectiveness | 0.00 |
| | Annual Security Obligations | 1.97 |
| **Grand Total** | | **515.40** |

***Table 3: Division of Effort by Driver (Days Worked)***

## 4. Helpdesk Activities

The SECAS Helpdesk receives enquiries via email and telephone. There were approximately **38** telephone enquiries and **1319** email enquiries to the various SECAS mailboxes in November 2018.

The email enquiries being raised and resolved have been grouped into the following categories with the total over the last 12 months shown:

| | Dec 17 | Jan 18 | Feb 18 | Mar 18 | Apr 18 | May 18 | Jun 18 | Jul 18 | Aug 18 | Sep 18 | Oct 18 | Nov 18 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Applications | 32 | 29 | 38 | 44 | 41 | 23 | 43 | 6 | 6 | 56 | 43 | 19 |
| Sub-Committees | 116 | 737 | 481 | 223 | 228 | 208 | 108 | 242 | 312 | 362 | 441 | 167 |
| Consultation Correspondence | 14 | 15 | 5 | 6 | 0 | 0 | 13 | 7 | 0 | 2 | 3 | 4 |
| Contact Info | 46 | 25 | 60 | 41 | 34 | 81 | 75 | 46 | 55 | 51 | 36 | 26 |
| General Queries | 102 | 110 | 90 | 87 | 59 | 40 | 43 | 17 | 54 | 44 | 7 | 56 |
| Panel & Board Correspondence | 23 | 21 | 34 | 33 | 48 | 55 | 203 | 146 | 106 | 45 | 46 | 16 |
| Modifications | 145 | 249 | 389 | 500 | 415 | 369 | 376 | 627 | 514 | 528 | 524 | 576 |
| User CIO Assessments | 230 | 359 | 210 | 230 | 235 | 262 | 276 | 284 | 426 | 416 | 346 | 325 |
| Party/RDP Signifiers | 1 | 4 | 4 | 4 | 1 | 1 | 6 | 1 | 5 | 0 | 1 | 0 |
| Training Days/Seminars | 0 | 0 | 57 | 91 | 22 | 73 | 1 | 2 | 31 | 43 | 0 | 0 |
| Other | 225 | 178 | 135 | 126 | 128 | 93 | 184 | 74 | 81 | 59 | 167 | 130 |
| **Total** | **934** | **1727** | **1503** | **1385** | **1211** | **1205** | **1328** | **1452** | **1590** | **1606** | **1614** | **1319** |

***Table 4: SECAS Helpdesk Emails***

## 5. SEC Website Update and Statistics

Below are some key statistics relating to the use of the SEC Website:

| | 2017 | 2018 | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Dec | Jan | Feb | Mar | Apr | May | Jun | Jul | Aug | Sep | Oct | Nov |
| Visits[3] | 9,984 | 10,419 | 6,099 | 8,017 | 8,062 | 6,803 | 6,825 | 8,370 | 6,841 | 6,266 | 8,592 | 8,007 |
| Page Views[4] | 25,224 | 28,344 | 22,712 | 27,240 | 24,155 | 19,924 | 20,292 | 24,496 | 20,530 | 18,738 | 24,152 | 22,387 |

***Table 5: SEC Website Statistics***

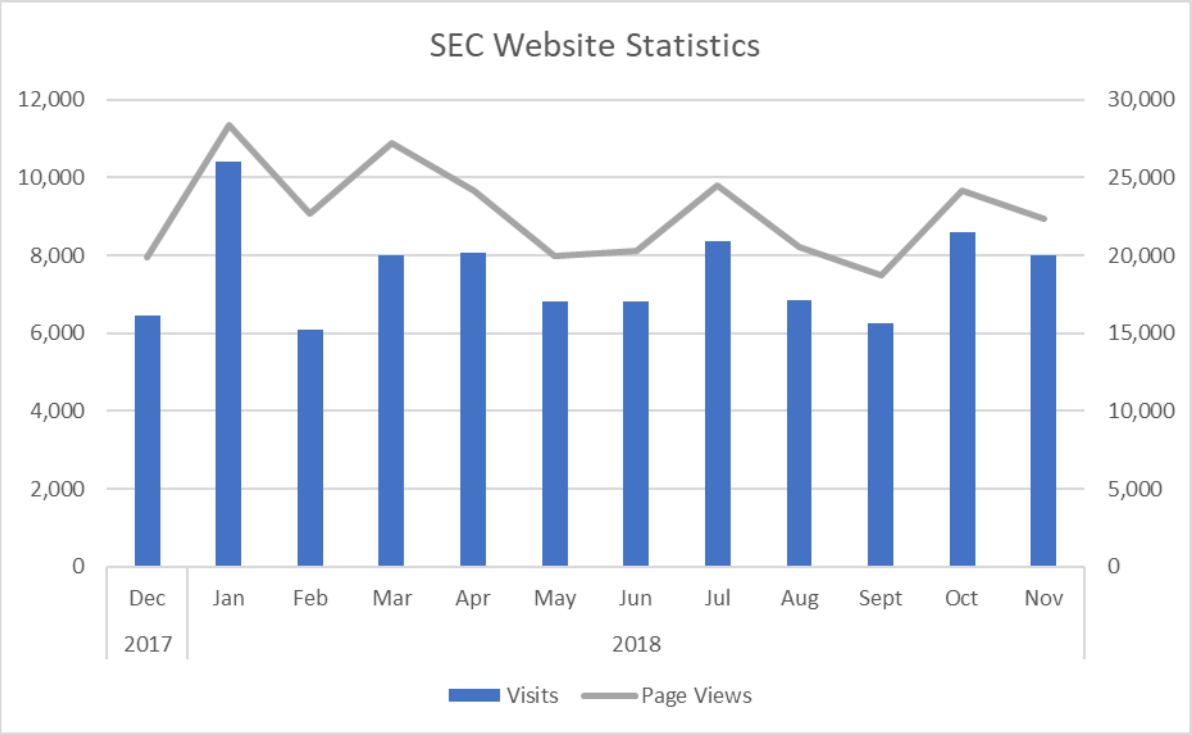


***Figure 2: SEC Website Usage***

[3] A visit is the time a user is actively engaged with our website. All usage data is associated with a visit.
[4] Page Views is the total number of pages viewed. Repeated views of a single page are counted.

## 6. SEC Meeting Details

The table below provides a summary of all SEC meetings over the last month. It also provides a summary of meetings attended by SECAS personnel on behalf of the SEC Panel and its Sub-Committees:

| Category | Meeting | Meeting Date(s) | Summary of Events |
|---|---|---|---|
| **SEC Governance Meetings** | SEC Panel | 09/11//2018 | The Panel's regular monthly meeting. Further information on the proceedings of this meeting is available in the public minutes on the **SEC Website.** |
| | SECCo Board | 09/11//2018 | The SECCo Board's regular monthly meeting. The proceedings and minutes of the SECCo Board are confidential. |
| | TABASC | 15/11/2018 | The TABASC's regular monthly meeting. The meeting headlines are available via the link below.<br>**TABASC_36_1511 – Meeting Headlines** |
| | SEC Change Board<br>• SECMP0009[5]<br>• SECMP0049[6] | 21/11/2018 | The Change Board met in November 2018, where it recommended the Authority **APPROVE** SECMP0009 and the alternate solution for SECMP0049. |
| | Working Group<br>• SECMP0063[7]<br>• SECMP0062[8]<br>SECMP0058[9] | 02/11/2018<br>15/11/2018<br>20/11/2018 | Three Working Group meetings took place in November 2018 to discuss the progression of SECMP0063, SECMP0062 and SECMP0058. |
| | Security Sub-Committee (SSC) | 14/11/2018<br>28/11/2018 | The SSC held two meetings in November 2018. The non-confidential meeting headlines can be found below.<br>**SSC_66_1411 – Meeting Headlines**<br>**SSC_67_2811 – Meeting Headlines** |
| | SMKI PMA | 20/11/2018 | The SMKI PMA continue to meet monthly. The meeting headlines are available via the link below. |

5 SECMP0009 'Centralised Firmware Library'
6 SECMP0049 'Section D Review: Amendments to the Modification Process'
7 SECMP0063 'Ensuring correct Network Operator Certificates are placed on Electricity Smart Meters'
8 SECMP0062 'Northbound Application Traffic Management - Alert Storm Protection'
9 SECMP0058 'Changes to the governance of the Self-Service Interface'

| Category | Meeting | Meeting Date(s) | Summary of Events |
|---|---|---|---|
| | | | **SMKI PMA_52_2011 – Meeting Headlines** |
| | Operations Group (OPSG) | 27/11/2018 | The OPSG continue to meet monthly. The meeting headlines are available via the link below.<br>**OPSG_14_2711 – Meeting Headlines** |
| | Testing Advisory Group (TAG) | 06/11/2018<br>28/11/2018 | The TAG met twice in November 2018. The minutes will be available in December 2018. |
| | Modifications Question Hour | 05/11/2018 | Each month SECAS host a teleconference offering SEC Parties the opportunity to ask questions on the modifications due to be presented at the forthcoming Panel meeting. |
| **BEIS** | Implementation Managers Forum | 29/11/2018 | These transitional groups continue to meet on a regular monthly basis. Further information on all transitional meetings is available in the Transitional Governance Update paper, available as part of the monthly SEC Panel paper pack. |
| | Smart Metering Delivery Group | 07/11/2018 | |
| | Technical and Business Design Group | 21/11/2018 | |
| **DCC** | Test Design and Execution Group | 13/11/2018 | |

***Table 6: Meetings hosted and attended by SECAS***