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Action:	**For Discussion**

SEC Panel Sub-Committee Report

1. Purpose

This paper provides the Panel with an update on recent activities from the Panel Sub-Committees. It highlights the key issues discussed and details specific points the Sub-Committees would like to bring to the Panel's attention. The Panel are requested to note the updates.

2. Operations Group

2.1 Operations Group Meeting Highlights

Planned Maintenance

The DCC provided the Operations Group (OPSG) with its updated proposals for Planned Maintenance. The DCC provided assurances to the OPSG regarding the population of the Forward Schedule of Change and classification of core and non-core functionality. The OPSG welcomed the additional detail the DCC had provided and reiterated their support for the proposed trial. The OPSG requested the DCC to, following Panel approval, inform SEC Parties about the trial and start date.

SMETS1 Live Services Criteria

The DCC presented the OPSG with its initial outline proposals for evidencing its fulfilment of the SMETS1 Enrolment and Adoption Live Service Criteria. The DCC will bring a formal paper of the supporting evidence for consideration to the April OPSG meeting. Concerns were raised by Members that actual testing of the migration processes will not commence until after the 26 May 2019 planned go live date. Further concerns were raised about capacity planning; a Member noted that the quoted figure of 50,000 Devices per day would be inadequate for the volumes required in the timescales. It was noted that BEIS would oversee the actual execution of the migration process.

Communication Hub Returns Process

In review of the quarterly Communication Hub Returns Report, it was noted that at the time of writing the report, no returned Comms Hubs had been through the full triage process. OPSG Members raised concerns that the process does not work from a User perspective. It was noted that the DCC has been doing work to inform and educate Users, however there remains a divergence. Suppliers raised concerns over lack of ability to carry out bulk returns of Comms Hubs and cited the cut over to Release 2.0 compliant Communication Hubs at the end of October 2019. It was agreed that the DCC would hold a workshop with OPSG Members, SECAS and BEIS representatives, to establish a firm understanding of the issue and drive resolution. The DCC informed the OPSG that the SEC did not include provisions for a bulk returns process.

Release 2.0 Incentives Scheme Milestones 2A and 2B

The DCC presented the OPSG with an update on their fulfilment of the Release 2.0 Incentive Milestones 2A and 2B. The DCC noted that, as per the Independent Auditor's report, they had not met Incentive Milestone 2A, but had met the Incentive Milestone 2B. DCC and the Independent Auditor did not agree on the date that Milestone 2B was met. The DCC noted that the Independent Auditor had identified an outage of a component of the technical infrastructure, which the auditor considered relevant to the assessment criteria. The DCC maintained that this outage had not affected the availability of the full service to Users.

The OPSG considered the details provided by the DCC and could find no reason to dispute the findings of the Independent Auditor. There was no input from OPSG Members of User experience for Milestone 2B and the OPSG accepted the Independent Auditor's findings.

SSI Enhancement and Adoption

Confidential Appendix B is provided to the Panel for information, to provide a breakdown of forecast and actual costs for individual work items (Sprint).

The OPSG approved Sprint 11. Concerns were raised with the costs of the proposed Sprint 12 which are outside of the agreed value range to enforce the agreed low risk incremental approach. The DCC has agreed to provide further detail about the items in Sprint 12 that are driving the costs and to provide a view to the Ops Group of options about splitting the implementation of Sprint 12. Panel Members are invited to provide guidance on the policy to be adopted, given the size of the proposed expenditure.

3. Security Sub-Committee and SMKI PMA

3.1 Assurance Status Decisions

The Security Sub-Committee (SSC) set one assurance status in February 2019. Details can be found in confidential Appendix A.

3.2 Verification Assessments

As part of their wider obligations, the Security Sub-Committee (SSC) review the outcomes of Verification Assessments. If the SSC believe that a User is non-compliant, or potentially non-compliant, with obligations contained in SEC Sections G3-G6, then they will notify the Panel.

During February 2019, the SSC reviewed six Verification User Security Assessments (VUSAs) in which Compliance Status' were set. Details of the VUSAs can be found in confidential Appendix A.

3.3 Director Letters

The SSC reviewed two Director's Letters in February 2019 which were approved and can be found in confidential Appendix A.

3.4 Security Self-Assessments

During February 2019, the SSC reviewed one Security Self-Assessment and the details can be found in confidential Appendix A.

3.5 SSC Highlights

Major Security Incident Management

The DCC provided an update to the SSC regarding the DCC having to undertake scenario-based activities which should ensure correct handling, should an event arise of malicious firmware or attacks. The mapping exercise of the scenarios addressed incident categorisation, assignments, escalation and reporting. The DCC were able to provide clarity on SEC Appendix AG Incident Management Policy, whilst also highlighting the Security Incidents and confidentiality involvement.

Self-Assessment Changes for Security Controls Framework (SCF)

The SSC discussed updates to the Self-Assessment section of the Security Controls Framework that have been endorsed by the User CIO. This work has already been completed and implemented into the latest version (version 1.2) of the Validation Workbook.

SSC Quarterly Work Package (April – June 2019)

The SSC were provided with the SSC Quarterly Work Package which clarified the specific activities and generic associated costs for the SECAS core team, and the project resource required for the period of April – June 2019. As a result, the SSC recommended the work package for SECCo Board approval.

SMETS1 Update

The SSC considered four proposed options raised by the DCC which were also presented to the SMKI PMA to check the separation of XML and SMKI keys for SMETS1 Devices, whilst highlighting the advantages and disadvantages for each proposed option. In turn, the DCC also provided an update regarding the proposed changes to Section G, specifically referring to G2.44 and G2.45 of the SEC whilst highlighting the current issues with the wording, and proposed amendments for each Section.

DCC Go Live On-Boarding Process – Pre-Live Preparation

The SSC were informed of the background and current process within the DCC Go-Live On-Boarding Process which outlined a proposed improved and more efficient solution. The Shared Resource Provider SSC Member had been working with their customers to support them through the DCC On-Boarding process for SEC Parties to become a DCC User and advised that, a two-step approval notification was being sought by the SECAS Security Team to confirm the assurance status' set.

CPA Conditional Certificates – Risk Based Decision

The SSC considered options in relation to the handling of Devices that have not been remediated when a Commercial Product Assurance (CPA) certificate expiry occurs and when they should be removed from the Certified Product List (CPL). A proposed 'minded to' position was considered prior to the SSC becoming responsible for CPA matters in an update to the SEC scheduled to be implemented on 12 March 2019.

1.5 SMKI PMA Highlights

SMKI issues arising from the use of SPOTI

The SMKI PMA considered the issues arising from the use of SMKI Portal via The Internet (SPOTI) whilst recapping on the risk assessment reviewed on 15 January 2019. The conclusion of the assessment was that the alternative solutions must be considered in order to reduce the risk to the DCC Systems but would allow Device Certificates to be obtained through a different mechanism. It

was noted that there would be a potential need to modify the existing SEC provision regarding Authorised Subscribers, and General Provisions around the use of SPOTI. As such, the SMKI PMA agreed to seek NCSC and legal advice on changes to the SEC.

SMKI PMA Quarterly Work Package (April – June 2019)

The SMKI PMA were provided with the Quarterly Work Package which clarified the specific activities and generic associated costs for the SECAS Core Team and the Project resource for the period of April – June 2019. As a result, the SMKI PMA recommended the work package for SECCo Board approval.

4. Technical Architecture and Business Architecture Sub-Committee (TABASC) and Testing Advisory Group (TAG)

4.1 TABASC Highlights

SMETS1 Services Release Business Architecture Document (BAD) & Technical Architecture Document (TAD)

The TABASC are undertaking a review of the necessary updates to the Business Architecture Document (BAD) and the Technical Architecture Document (TAD) to capture the changes being implemented as part of the SMETS1 Services Release. The TABASC were presented with the initial impact assessment this month and the updated versions of the documents are expected to be issued in March 2019 for review.

The TABASC discussed the value of maintaining the Business Architecture Model (BAM) and agreed that it should be updated with SMETS1 Services Release content. It was also agreed to explore different delivery mechanisms for hosting the BAM in the future.

Retiring Design Notes

The TABASC agreed an approach to retire the Design Notes, which are guidance documents that detail specific areas of interest (i.e. processes, procedures, activities or events) to aid industry understanding. The approach involves retaining a statement regarding the design challenge, while referencing where the content is reflected in other formal documentation such as the BAD and TAD.

Progressing IRPs through the Change Process

SECAS provided an update on how Issue Resolution Proposals (IRPs) are progressed following formal handover from the Technical Specification Issue Resolution Subgroup (TSIRS). The TABASC agreed its involvement at the outset to triage the IRPs or any other technical issues to perform an assessment of the extent of the changes and decide upon the recommended release management path.

Ofgem & DCC Update on the Registration Data Provider/Centralised Switching Service to DCC Data Service Provider interfaces Change Request

Ofgem and the DCC presented an update on the Registration Data Provider (RDP)/Centralised Switching Service (CSS) to DCC Data Service Provider (DSP) interfaces Change Request highlighting that the CSS will be the owner and master of all registration data for Gas and Electricity. The CSS will interface with DSP and notify any data changes, and DSP will notify CSS of installation updates. The presentation gave an overview of the solution at CSS go live, and the proposed solution, and the DCC noted that full changes would be implemented around 9 months after CSS go

live, all subject to cost benefit analysis. The TABASC supported the approach proposed, however noted that they expect the DSP changes to be built in from the beginning, thereby not necessitating another DSP change in future and keeping the costs down.

SECMP0067 'Service Request Traffic Management Business Requirements Analysis'

SECAS provided the TABASC with the business requirements analysis paper for SECMP0067 'Service Request Traffic Management'. The TABASC discussed with SECAS the business requirements prior to submission to the DCC for Preliminary Assessment. The TABASC proposed that the working group consider that the TABASC govern the list of priority Service Requests.

4.2 TAG Highlights

Release 2.0

The DCC provided an update to the TAG on the progress with CSP North Dual Band Communications Hub (DBCH) Systems Integration Testing (SIT) status using sub-GH, noting that some of the testing was now complete. The consequential impact on CH palate deliveries was still to be confirmed.

The TAG and DCC also discussed the latest progress and on Release 2.0 Device Integration Testing (DIT) using SMETS2v3 Devices. The DCC provided a progress update in relation to gaining sub-GHz Devices from a second manufacturer, noting the DCC's latest estimate that these should be available in mid-2019 allowing testing to complete in June/July.

The DCC has commenced engagement regarding the Release 2.0 Incentive regime, specifically the achievement of the milestones for making User Integration Testing (UIT) for DBCH available for CSP North and CSP Central/South.

SMETS1

The TAG and DCC discussed the TAG's concerns about a recent DCC communication that DCC's completion of testing was dependent upon Testing Participants exiting the UIT-B environment. The DCC confirmed that there is no requirement to exit but noted that there could be risk of interruption as the DCC upgrades the environment.

The TAG scheduled an extra meeting in late February to provide a latest view of SIT progress as we head toward completion of SIT for SMETS1 Initial Operating Capability (IOC) completion. The DCC provided an update on the latest test stage, and also presented an updated draft SIT Completion Report, containing actual data to the current point and placeholders for remaining testing. TAG thanked the DCC for the very clear method they have used to record comments on preceding versions and how those comments have been addressed.

SMETS1 IOC SIT Completion Report

The TAG and DCC have met several times in the lead up to making a recommendation to the Panel regarding the status of the SIT Completion exit criteria, the last meeting being 6 March. At the last meeting the TAG considered that not all exit criteria were met and made recommendations to address those concerns. Panel paper SECP_66_1503_04 provides the detail of the discussions and the actions recommended.

The TAG expects to provide a simple statement to the Panel on or before 15 March to confirm whether those actions are addressed. The TAG's recommendation to agree that the exit criteria are met are contingent upon those actions.

5. Recommendations

The Panel is requested to:

- **NOTE** the content of this paper; and
- **DISCUSS** the DCC Self Service Interface Sprint Costs set out in Appendix B.

Rebecca Jones
SECAS Team
8 March 2019

Attachments:

- Appendix A – Security Assurance Status Update (**RED**)
- Appendix B – DCC Self Service Interface Sprint Costs (**AMBER**)