Meeting SECP_25_0910, 9th October 2015

Gemserv, 8 Fenchurch Place, London, EC3M 4AJ

Final Minutes

Attendees:

Category	SEC Panel Members
SEC Panel Chair	Peter Davies
Large Suppliers	David Ross Scott
	Alex Travell (Alternate)
Electricity Networks	David Lane
Gas Networks	Erika Melen
Other SEC Parties	Hugh Mullens
	Mike Woodhall
DCC	Paul Hawkins
Consumer Member	Chris Alexander (Observer)

Representing	Other Participants
DECC (Secretary of State)	Duncan Stone
	Tim Guy
Ofgem (the Authority)	Raymond Elliot
	Nigel Nash
Meeting Secretary	Alys Garrett
SECAS	Jill Ashby
	Sarah Gratte
	David Barber

Apologies:

Category	SEC Panel Members
Small Suppliers	Eric Graham
	Mike Gibson

1. Minutes and Actions Outstanding

The SEC Panel noted that the draft minutes from the September SEC Panel meeting were agreed ex-committee on 25th September 2015 to allow SEC Parties to receive the final minutes prior to the next Panel meeting.

SECAS provided the SEC Panel with an update on the Actions Outstanding from previous meetings, noting that the majority of the actions had been closed or were ongoing with updates to be provided at future meetings. A brief update was provided on the following actions:

Action Reference	Update
SECP24/02	The DCC have provided a testing timeline in their DCC Update. To provide transparency to Parties, this will be included as an appendix to the SEC Panel Role in DCC Live standing paper. Action CLOSED.
SECP24/03	The Panel Finance and Contracts Sub-Group (PFCG) will be meeting on 16th October to discuss the first draft of the Draft Budget for 2016 – 2019 and the assumptions that are used to produce the provisions.
SECP24/08	SECAS made the suggested amendments to the Modification Progression timelines and published on the website on 07/10/2015. Action CLOSED.
SECP24/CONF01	This action had been moved from the confidential action log to the non-confidential log to allow visibility to Parties. Clarity had been provided from DECC on the questions asked on the Privacy Assessments: • SEC Section I2.31 states that all Other Users are required to complete an initial Full Privacy Assessment as part of the User Entry Process; • The frequency of the assessments following the initial Full Assessment is as follows: ○ The Other User will have to undertake a Privacy Self-Assessment by the end of the year following the year in which they undertook their initial Full Privacy Assessment. • Where suppliers wish to act in the capacity of an Other User, then the Other User requirements will apply to them. This includes the Privacy Assessment requirements.

The confidential minutes from the September meeting were agreed by the Panel.

2. Privacy Controls Framework

SECAS presented the Panel with the Privacy Controls Framework (PCF) for approval. The PCF was consulted on with Parties in September with four responses received. SECAS and the Independent Privacy Auditor (IPA) had updated the document in line with the comments received and a tracked changed version of the document was also provided to the Panel.

SECAS highlighted that there were still some areas within the PCF that required further thought including the process for Random Sample Privacy Assessments. The Panel noted that further iterations of the document would be brought forward for approval once the details were determined.

SECAS also mentioned that discussions had been held with the Information Commissioner on the PCF and they noted they would be happy to provide comments however would not provide any recommendations / approval of the document. The Information Commissioner also asked the Panel to consider establishing a Memorandum of Understanding (MoU) in order to set up a communication between the Panel and the Information Commissioner when a User is found, through the Privacy Assessment process, to have breached its Data Privacy Act obligations. The Panel agreed for SECAS to look into the implications of setting up a MoU.

The Panel:

- **NOTED** the contents of the paper; and
- **APPROVED** the Privacy Controls Framework provided in Appendix B to the paper.

ACTION SECP25/01: SECAS to publish the approved Privacy Controls Framework on the SEC Website.

ACTION SECP25/02: SECAS to look into the implications of setting up a Memorandum of Understanding between the Panel and the Information Commissioner regarding DPA breaches.

3. Security Controls Framework - Confidential

SECAS presented Appendix A to the Security Controls Framework (SCF) for approval by the Panel. The Security Sub-Committee (SSC) supported the development of the document through the review cycles and provided a recommendation to the Panel that Appendix A to the SCF was fit for purpose.

It was highlighted that the main body of the document had to undergo further development prior to being approved, however to allow Parties sight of the controls set out in Appendix, this had been brought for approval prior to the whole document.

The Panel:

- **NOTED** the contents of the paper; and
- **APPROVED** Appendix A of v0.4 of the SCF in line with the SSC recommendation that it is it for purpose and agreed that SEC publish it on the SEC Website.

ACTION SECP25/03: SECAS to publish the approved Appendix A of the Security Controls Framework on the SEC Website.

4. File Signing Update

SECAS have progressed the development of the Certified Products List and have published an example on the website to allow visibility. SECAS and the DCC have discussed manners by which SECAS could apply a digital signature to the file to allow secure transmission to the DCC. The DCC explained that the preferred solution would be to use an Infrastructure Key Infrastructure (IKI) Certificate. The DCC highlighted that this was the most appropriate of the key infrastructures available and allows the CPL to be signed without the DCC requiring access the internet which is not currently

built into the DCC solution. The IKI arrangements already have a governing body through the SMKI PMA.

SECAS highlighted that if this solution were to be taken forward further work would need to be carried out including on liabilities. DECC raised that they would not expect the Panel / SMKI PMA to take on liability and this could be dealt with through the SECAS contract.

The DCC highlighted the importance of maintaining the security of the file as it holds the devices that the DCC provides communication services to. SECAS noted that the exchange of the file is a bi-lateral exchange and that the security taken should be proportionate to the risk.

The Panel Chair highlighted that this is a Panel led process and should be down to the Panel to determine the solution. It was questioned whether any alternative simpler methods had been considered. The Panel requested alternative options to be considered with the support of the Transitional Security Expert Group (TSEG) and / or the Transitional Policy Management Authority Group (TPMAG).

The Panel:

- **NOTED** the contents of the paper; and
- **AGREED** for alternative solutions to be discussed, with the support of TSEG and brought to a future Panel for approval.

ACTION SECP25/04: SECAS and the DCC to discuss alternative options for signing the Certified Products List with TSEG and TPMAG.

5. Change Board and Working Groups

SECAS presented the Panel with a paper on considerations for the state of the Change Board, with the activation of Modification Pathways in early 2016 currently being concluded on.

The Panel agreed to remove the dormant state of the Change Board to allow them to convene at an appropriate time to consider any Modifications that are raised once enabled. As such, the annual nominations process would also need to take place and the Panel agreed the timetable for member nominations as set out in the paper.

The paper requested the Panel to consider whether the Change Board should undertake a review of the processes and procedures for progressing Modification Proposals to take into account the further Pathways that will become available. The Panel agreed that SECAS could undertake this activity along with looking at the designated documentation and which Sub-Committee should aid the Panel and Change Board in progressing changes to each Subsidiary Document.

The Panel also considered the proposal to establish standing Working Groups to allow the efficient progression of Modification Proposals through the Refinement Process. Four standing Working Groups were proposed to look at Modifications covering: technical documentation; security and privacy arrangements; the Key Infrastructure arrangements; and any other Modifications that are not covered by the first three groups.

The Panel considered that in the initial period of Modifications being raised, the duties that would fall to each Working Group could be undertaken by the Sub-Committees currently in place. If it were then determined that Working Groups were required these could be established at that point. It was noted that this would not prevent specific Working Groups being established to progress specification Modification Proposals as required.

A Panel Member raised that Working Groups are often open invitation to Parties to enable transparent discussion with all stakeholders and this would need to be taken into consideration if Modifications were to be discussed at Sub-Committees with specific membership.

The Panel:

- **NOTED** the contents of the paper;
- **AGREED** to remove the dormant status of the Change Board;
- **AGREED** the timetable for the Change Board annual nominations process;
- **AGREED** for SECAS to undertake a review of the appropriate governance entity to consider Modifications for different aspects of the SEC; and
- **AGREED** that the Panel Sub-Committees could undertake the role of the proposed standing Working Groups.

ACTION SECP25/05: SECAS to undertake the Change Board annual nominations process in accordance with the approved timetable.

ACTION SECP25/06: SECAS to undertake a review of the appropriate governance entity to consider Modifications for different aspects of the SEC.

6. Approval of the ID Allocation Procedure

SECAS presented an amended version of the ID Allocation Procedure for approval, required to be developed in accordance with SEC Section B2.2. The ID Allocation Procedure had been updated to include the agreed procedure for allocating Signifiers – retain the existing Signifiers issued by SECAS and adopt the enduring process for allocating any new Signifiers going forward.

It was noted that following publication of the paper, the DCC requested that a line be added to identify when an EUI-64 Identifier or Party / RDP Signifier would be issued.

The Panel:

- **NOTED** the contents of the paper; and
- **APPROVED** the ID Allocation Procedure subject to the amendment being made as suggested.

ACTION SECP25/07: SECAS to publish the ID Allocation Procedure on the SEC Website.

7. Security Sub-Committee Update

SECAS provided the Panel with an update on the Security Sub-Committee (SSC) meeting held on 23rd September 2015. As well as the review of the Security Controls Framework as discussed under agenda item 3, the SSC also discussed the amended Terms of Reference (ToR) to include the group composition. The Panel were presented with the updated ToR for approval.

SECAS also highlighted the work that was being undertaken to support the commencement of security assessments, including the request for information issued to ascertain when each Party may commence the assessment process.

The Panel:

- **NOTED** the contents of the paper; and
- **APPROVED** the SSC's amended Terms of Reference.

8. SEC Panel Risk Register Update

The Panel were provided with the updated Risk Register following the monthly review by SECAS which included a new risk as suggested at the September Panel meeting. The Panel questioned whether the risk should be more specific to the Panel's responsibilities leading up to DCC Live rather than the general Panel activities. A Panel Member also questioned whether the mitigation should include SECAS / SEC Panel working more closely with the DCC to achieve the Panel obligations.

A Panel Member also requested that the risks around supporting the DCC Live delivery and the delivery of the Ofgem – Next Day Switching Project should be separated out as they are being delivered to different timescales and have different levels of Panel involvement.

Following the discussion, the Panel approved the amendments to the SEC Panel Risk Register.

The Panel:

- **NOTED** the contents of the paper; and
- **AGREED** the amendments to the SEC Panel Risk Register.

9. SEC Panel Elections and Meeting Dates

SECAS provided the Panel with an update on the new Panel Member composition that took office from 23rd September 2015 following the annual Scheduled Elections.

The paper also provided the Panel meeting dates for 2016 for Panel approval.

The Panel:

- **NOTED** the contents of the paper; and
- **AGREED** the proposed meeting date schedule for 2016.

ACTION SECP25/08: SECAS to send out Outlook invitations to Panel Members for 2016 Panel meetings

10. Testing Update

SECAS presented the Panel with a paper providing a general update on testing as well as an overview of the Testing Advisory Group's activities since the last update. It was highlighted that this paper did not replace any DCC Testing Reports provided.

The Panel discussed the obligation to provide Testing Participants with the Testing Reports that are provided by the DCC on a weekly basis. DECC raised that they are currently looking into whether the reports could be circulated wider to all Parties. Despite this consideration the Panel noted that they should be circulated to the Testing Advisory Group Members (for SIT reports) and SMKI PMA Members (for SRT reports).

This would allow the respective groups to monitor progress and update Panel when required.

SECAS also highlighted that the TAG were receiving updates on the outstanding items which needed addressing in the testing approach documents and that they were happy with the progress. The Panel would be kept up to date with progress.

The Panel discussed that the testing approach documents were produced in line with the DCC release plan at the time based on full functionality at DCC Live. If there is a divergence from this approach then there would need to be a review of the testing approach documents to ensure the testing approach remains robust and fit for purpose. DCC noted that this was being considered.

The Panel:

- **NOTED** the contents of the paper; and
- **APPROVED** support from the TAG and SMKI PMA during the SIT and SRT stages.

ACTION SECP25/09: SECAS to amend the terms of reference for the TAG and SMKI PMA to include their testing support and provide members with the relevant testing reports.

11. SEC Panel Role in DCC Live

The Panel were presented with the standing agenda item showing progress through the testing stages from a Panel perspective. It was noted that an additional testing timeline had been included in the paper and the Panel requested that any changes month on month were highlighted in the paper.

The Panel **NOTED** the contents of the paper.

12. Configuration Management Update

Following the designation of versions 4.4 and 4.5 of the SEC, SECAS provided an update on the changes that were made. The document also provided the Panel and Parties with a view of the SEC Subsidiary Documents that had recently been baselined through the transitional governance arrangements.

The Panel **NOTED** the contents of the paper.

13. Event of Default, Appeal, Referral and Dispute Processes Guidance

On request of the Panel, SECAS produced some working examples to show the processes and activities that would need to be undertaken in the event of an Event of Default, appeal, referral or dispute being brought to the Panel.

Whilst working through the examples, SECAS highlighted areas where process efficiencies could be made and where there were process gaps. The Panel agreed for SECAS to provide further consideration to these areas.

The Panel **NOTED** the contents of the paper.

ACTION SECP25/10: SECAS to develop solutions to where there are process gaps and where process efficiencies can be made in the event of default, appeal, referral and dispute processes.

14. SMKI PMA Update

SECAS provided the Panel with an update on the SMKI PMA meeting which took place on 8th September 2015. A verbal update was provided at the September Panel meeting and this paper had been produced for completeness.

The Panel **NOTED** the contents of the paper.

15. Smarter Markets Project Update

The Panel were provided with an update on the work being undertaken to support the Smarter Markets Project which included preparatory work for the Blue Print Phase of the project which would include the establishment of the work group meetings.

The paper also presented options for acquiring Casewise, as the preferred process modelling tool:

- Purchase Casewise outright and have sole ownership; or
- Share ownership with MRASCo who have recently purchased Casewise for process modelling work.

The Panel noted that it would be worth taking forward the option to share ownership with MRASCo if agreed to allow cost efficiencies for industry.

Due to the DCC's involvement in the Smarter Markets Project it was requested that going forward the DCC provide an update on their activity in the reporting period. Noting this would be additional to the current update on the project resource activities provided through the Panel budget.

The Panel:

- **NOTED** the contents of the paper; and
- **AGREED** for SECAS to approach MRASCo regarding sharing ownership of Casewise.

ACTION SECP25/11: SECAS to approach MRASCo regarding sharing ownership of the Casewise platform.

16. Transition Governance Update

The Transition Governance Update is a standing agenda item which is intended to inform the SEC Panel and SEC Parties of the activities occurring in the SMIP. The paper [SECP_25_0910_16] consolidates headline updates from all of the Transition Work Groups attended by SECAS and the SEC Panel Chair in the last month including an overview of any relevant publications and consultations.

The SEC Panel Chair provided an update from the Smart Metering Delivery Group meeting on 9th October which will be included in the November paper.

The Panel **NOTED** the contents of the paper.

17. Operations Report – September 2015

The Operations Report is a standing agenda item to inform the SEC Panel and SEC Parties of operational activities that have taken place in the last month in support of the SEC and the total amount of resource effort.

The Panel **NOTED** the contents of the paper.

18. SEC Panel Activity Planner

SECAS presented the Panel with the standing agenda item which provides an overview of the forthcoming SEC Panel activities and a forward look at the Panel agenda items for the next three months based on the latest information available to SECAS.

The Panel **NOTED** the contents of the paper.

19. DCC Update

The Panel were provided with an update on the activities undertaken by the DCC since the last Panel meeting, including Systems Integration Testing and SMKI and Repository Testing progress. The Panel were also provided with a subset of the reporting provided to the Implementation Managers Forum to aid transparency on the progress towards DCC Live.

The Panel **NOTED** the contents of the update.

20. Accessions Update

SECAS noted that no organisations were acceding to the SEC in October 2015.

The Panel **NOTED** the contents of the verbal update.

21. Any Other Business

There was no further business and the Chair closed the meeting.