

## SEC Panel Meeting 33

### Meeting SECP\_33\_1706, 17<sup>th</sup> June 2016

10:00 – 13:00, Gemserv, 8 Fenchurch Place, London, EC3M 4AJ

## Final Minutes

### Attendees:

Category	SEC Panel Members
SEC Panel Chair	Peter Davies
Large Suppliers	Simon Trivella
	Alex Travell (Alternate)
Small Suppliers	Eric Graham
Electricity Networks	David Lane
Gas Networks	Sara Neal
	Hilary Chapman (observer)
Other SEC Parties	Mike Woodhall
	Hugh Mullens
DCC	Paul Hawkins

Representing	Other Participants
DECC (Secretary of State)	Duncan Stone
Ofgem (the Authority)	Nigel Nash
	Gwen Cruise
Meeting Secretary	Lucia Halbherr
SECAS	Sarah Gratte
	David Barber
	Jill Ashby
	Sebastian Rattansen (part)

### Apologies:

Category	SEC Panel Members
Large Suppliers	David Ross Scott
Small Suppliers	Mike Gibson

## 1. Minutes and Actions Outstanding

The minutes from the May 2016 Panel meeting were approved via ex-committee decision.

SECAS provided the Panel with an update on the Actions Outstanding from previous meetings, noting that the majority of the actions had been closed with updates to be provided under respective agenda items. A brief update was provided on the following actions:

Action Reference	Update
SECP22/08	The Time Management Design Note was uploaded to the website w/c 6 <sup>th</sup> June 2016. Further changes were requested by the Technical Specification Issues Resolution Sub Group (TSIRS) to the Firmware Management Design note. Members will provide comments by 22 <sup>nd</sup> June 2016, and it will be baselined at July's Technical and Business Design Group meeting.
SECP23/08	The Panel Information Policy and Security Policy will undergo legal review once the Security Policy is complete.
SECP32/01	In order to assess the impact of the non-domestic opt out, SECAS have calculated from Ofgem's list of electricity and gas licensees that approximately 70 non-domestic electricity and gas suppliers exist.
SECP32/06	The Testing Approach Documents will be provided to the Panel at the July 2016 meeting.

## 2. Impacts on SEC Panel and Operations

The Panel were provided with an overview of the consultations and government responses issued in May that may have an impact on the SEC Panel and Parties. The following consultations and government responses were discussed to determine whether a Panel response was required:

DCC Contingency Request 24<sup>th</sup> May 2016, and overlapping Systems Integration Testing and Interface Testing

The DCC submitted a contingency request on 24<sup>th</sup> May 2016, which was circulated to SEC Parties and the Panel for comment. Following initial comments, the DCC provided an updated request with clarifications for further comment and on 7<sup>th</sup> June 2016, the Smart Metering Implementation Programme (SMIP) Senior Responsible Officer (SRO) approved the request. The SRO also approved the DCC's proposal to overlap elements of Systems Integration Testing (SIT) with Interface Testing (IT). The date of DCC Live has consequently moved from 20<sup>th</sup> July 2016 to 17<sup>th</sup> August 2016, and the start of User Entry Process Testing (UEPT) has been moved to 4<sup>th</sup> July 2016.

DECC paper on managing risks and issues to smart metering implementation during early live operations

In May 2016, DECC presented a paper to the Implementation Managers Forum (IMF) and the Technical Business Design Group (TBDG) with a framework for managing risks after DCC Live. The paper's aim is to engage the energy industry in considering how to collectively mitigate and manage the risks that may occur during early live operations. As a Governance Body, the Panel will be consulted, notified and involved in the process. It was highlighted that the Panel would not be accountable for any of the risks, however it may become involved if an issue required escalation from other governance groups such as the Transitional Security Expert Group, Security Sub-Committee, or the TBDG/Technical Sub-Committee.

### Consultation on the DCC Development Plan 2016-17 to 2020-21

On 23<sup>rd</sup> May 2016, the DCC released a consultation and a draft Development Plan for 2016-17 to 2020-21. Under its Licence, the DCC is required to produce an annual Development Plan that sets out its strategic priorities for developing its services over the next five-years. The Development Plan also provides a 'roadmap' that indicates the approximate timings of some activities. It was highlighted that the strategic priorities of the DCC remain unchanged from the last Development Plan and the Panel agreed that no response to the consultation is required.

### Government Response to the February 2016 SEC and Related Licence consultation released 11<sup>th</sup> May 2016.

The government issued its conclusions on 11<sup>th</sup> May 2016 to the February 2016 consultation on further amendments to the SEC and related Licence Obligations. The key highlighted change was that Panel Members would now have indemnity for actions taken against them in the event that the Panel breached the provisions of a contract.

The Panel:

- **NOTED** the contents of the paper; and
- **AGREED** no response was necessary to the DCC Development Plan consultation.

## 3. Privacy Controls Framework

The Panel were provided with an updated Privacy Controls Framework (PCF) for approval. The PCF had previously included a number of 'TBCs,' which had now been updated with timeframes proposed by the User Competent Independent Organisation (CIO) for privacy assessments. The updated PCF also replaces the term Independent Privacy Auditor (IPA) with User CIO, in line with the Security Controls Framework (SCF).

The Panel queried the notice period currently employed for booking privacy assessments. SECAS clarified that currently the 12 week notice period did not apply in order to not delay the User Entry Process, however for subsequent years the notice period would be enforced.

The Panel:

- **NOTED** the contents of the paper; and
- **APPROVED** the updated Privacy Controls Framework.

**ACTION SECP33/01:** SECAS to upload the updated PCF on the SEC Website.

## 4. Technical Specifications Management Handover

The Panel were provided with an overview of the proposed handover from DECC to SECAS for the Technical Specification management. DECC is currently maintaining the Technical Specification documents as part of the transitional arrangements. It was proposed that the enduring management of the Technical Specifications will be completed using existing tools and processes for change and configuration management, version control mapping and impact assessing change. These tools are interlinked to ensure that a change to one document is mirrored in the other documents. It was queried whether SECAS has the sufficient resources to support the management of the Technical

Specifications, and who would be responsible for the documents. It was clarified that the Technical Sub-Committee (TSC) would take ownership of the documents, and that a knowledge transfer plan will be developed to ensure expert resource is in place. The Panel emphasised the need for thorough end-to-end technical assurance as part of this work.

DECC will continue to manage the Technical Specifications for DCC Live and then handover the tooling at the end of the calendar year. It was agreed that SECAS would liaise with the DECC regarding trialling the current technical Modification Proposals through the tooling process for SECAS to assess the resource requirements. A further paper will then be presented to the Panel for discussion.

The Panel agreed SECAS would undertake the additional work and continue to discuss the handover of the Technical Specifications and the associated tools and processes with DECC.

The Panel:

- **NOTED** the contents of the paper; and
- **AGREED** for SECAS to undertake this additional work and continue to discuss the handover of the Technical Specifications and the associated tools and processes with DECC.

**ACTION SECP33/02:** SECAS to discuss the handover of the Technical Specifications and the associated tools and processes with DECC in order to prepare a resourcing profile for submission at a future Panel meeting.

## 5. DCC CIO Test Phase Scoping Document

The Panel were provided with the scoping document for the Test phase of the DCC System for approval. Following a recommendation from the Transitional Security Expert Group (TSEG) at their May 2016 meeting, the Panel approved the scoping document.

The Panel:

- **NOTED** the contents of the paper; and
- **APPROVED** the DCC CIO Test Phase Scoping Document.

## 6. SEC Panel Risk Register Update

The Panel were provided with the updated Risk Register following the monthly review by SECAS. There were four new proposed risks added to the June Risk Register.

The Panel discussed new risk 19, proposed by the Testing Advisory Group (TAG), of testing issues being diverted into User Entry Process Testing if the DCC sought to use a combination of devices and Test Stubs. The DCC informed the Panel that it was working closely with meter manufacturers to obtain meters for testing. The Panel discussed whether issues with meters would be communicated with Suppliers prior to them commencing testing, in order to more efficiently test Devices. The Panel highlighted that while using Test Stubs was a valid alternative to using meters, there was nevertheless a risk that using stubs to exit SIT may divert the discovery of errors into End-to-End Testing. The Panel agreed the risk, but requested that it be reframed to consider its impact on future stages of the programme.

New risk 20 outlined the possibility that the expert support structure established by the TSC is not adequate to support the TSC's duties due to knowledge gaps. It was highlighted that nominations had been sent to industry representatives to seek additional experts.

Risk 21 highlighted the TSC not being able to undertake their duties as set out in their Terms of Reference (ToR) due to limitations in support, time and budget. Proposed mitigations include obtaining appropriate resources from the Technical and Business Expert Community (TBEC) and SECAS.

Risk 22 relates to Modification Proposals being progressed that have a negative impact on the End-to-End Technical architecture. It was highlighted that members of the TSC were involved in Working Groups (WG) so individuals could provide technical input into the process.

The Panel:

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

**ACTION SECP33/03:** SECAS to amend risk 19 to consider the impact of the DCC using Test Stubs during testing on future stages of the program.

## 7. Testing Update

SECAS provided the Panel with an update on testing progress, including an update from the Testing Advisory Group (TAG) meeting held on 8<sup>th</sup> June 2016. At their meeting, the TAG discussed Test Stub assurance and requested that the Panel hold an additional Panel ex-committee meeting to review the DCC's proposal to use Test Stubs in advance of UEPT. As UEPT is due to commence on 4<sup>th</sup> July 2016, the 1<sup>st</sup> July 2016 was suggested for the Panel ex-committee meeting. In order to provide a recommendation to the Panel, the TAG will be meeting on 23<sup>rd</sup> June 2016 to consider the report provided by the DCC setting out the reasons why they consider Test Stubs to be suitable for UEPT. The Panel Chair updated the Panel that he would participate in the Smart Metering Delivery Group (SMDG) teleconference on 20<sup>th</sup> June 2016 to review progress though SIT and would provide an update to the Panel.

It was noted that the TAG would have sight of the DCC's release notes for the SIT Approach Documents at their June 2016 meeting. It was highlighted that the DCC would perform a review of the Systems Integrated Testing Approach (SITA), Integrated Testing Approach (ITA) and End to End Approach Document to ensure they remain fit for purpose following the approval of the new DCC pla, including further overlap of SIT and IT.

The Panel noted that the DCC expected the exit report to be completed and presented to the Panel on the 8<sup>th</sup> August 2016, and that the timescales for Panel's approval had been compressed in order to meet the 17<sup>th</sup> August 2016 date. The Panel expressed concern at the timescales and were still awaiting confirmation from DECC regarding their role in the DCC Live Services Criteria process. The Panel were informed that a DECC representative would attend the July Panel meeting to provide an update.

The paper also included a confidential appendix on the Testing Participants who have successfully completed SMKI and Repository Entry Process Testing.

The Panel:

- **NOTED** the contents of the paper; and

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- **AGREED** to schedule an ex-committee Panel meeting on 1<sup>st</sup> July 2016.

**ACTION SECP33/04:** SECAS to schedule an ex-committee Panel meeting on 1<sup>st</sup> July 2016.

## 8. Code Governance Review Phase 3 Outcomes: New Reporting Metrics

The Panel were provided with a paper setting out Ofgem's conclusions on the quantitative reporting metrics, which are to be reported on a quarterly calendar basis. The metrics primarily focus on the progression of modifications through each respective industry code modification process. The Q1 metrics for January – March 2016 were provided as Attachment B of the paper. It was highlighted that many of the metrics reported against are zeros, since the SEC Modification Process was activated in February 2016.

SECAS also informed that Panel that amendments to Code Administration Code of Practice (CACoP) Principle 12 were provided for comment. The Panel agreed that no response was necessary.

The Panel:

- **NOTED** the contents of the paper; and
- **AGREED** that no response was necessary in relation to CACoP Principle 12.

## 9. Modification Status Report – June 2016

The Panel were provided with an update on the status and progress of Modification Proposals going through the Modification Process. In June, 12 modifications were undergoing the Refinement Process, and four Modification Proposals were brought to the Panel as Initial Modification Reports (IMR). SECAS informed the Panel that Working Group (WG) 1 had requested preliminary assessments from the DCC for modifications SECMP0002, SECMP0003, SECMP0005 and SECMP0007, and that the DCC was to confirm that SECMP0006 would have no impact. The next WG1 meeting is scheduled for 27<sup>th</sup> June 2016, to discuss the remaining questions regarding SECMP0007.

SECAS highlighted that WG2 were meeting on 20<sup>th</sup> June 2016, and that WG3 and WG4 had met on 6<sup>th</sup> and 3<sup>rd</sup> June 2016 respectively. A Panel Member requested that narrative on how the modifications are progressing through each stage of the Modification Process is added to the report.

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

**ACTION SECP33/05:** SECAS to look into providing a more narrative commentary on the progress of modifications through the Modification Process.

## 10. Modification Proposals

SECAS presented the Panel with four IMRs to discuss and determine whether and how they should be progressed through the Modification Process. The Modification Proposals raised are listed below:

- **SECMP0014 – Standardise Formatting Of Device ID:** this modification proposes that Device IDs are formatted to a common standard so that the type of Device is included within the EUI-64 identifier;

- **SECMP0015 – GPF timestamp for reading instantaneous gas values:** this modification seeks to allow the Gas Proxy Function (GPF) to match the date-time stamp on the data received from the Gas Smart Metering Equipment (GSME) on its own version of the update;
- **SECMP0016 – Consideration of ‘maximum credit’ value in credit cover calculation:** the modification seeks to make amendments to the SEC so that a “Maximum Credit” value is considered when calculating a SEC Parties Credit Cover Requirement.
- **SECMP0017 – CGR Phase 3 outcomes: Code Administrator to chair Working Groups:** this modification seeks to amend SEC Sections D6.3 and D6.4 to align it with the outcomes of the Ofgem CGR3 proposals - namely that SECAS will chair all Modification Proposal Working Groups, unless the Panel identifies that there is a conflict of interest.

It was recommended that SECMP0014 be grouped with WG4, SECMP0015 with WG1, and that a new WG relating to governance matters should be created for SECMP0016. As a Path 3 modification, SECMP0017 will not require refinement and will be submitted directly for consultation. The Panel discussed why the status of ‘high impact’ had been attached to SECMP0016, and requested that that the definition and criteria for assigning the label be looked into. The IMRs were accepted, and the suggested Paths, timescales and WGs were agreed.

The Panel:

- **NOTED** the contents of the paper; and
- **APPROVED** the determinations for the Modification Proposals, as set out in the IMRs.

**ACTION SECP33/06:** SECAS to look into the definition and criteria for assigning the ‘high impact’ label to modifications.

## 11. DECC Update

The Panel were provided with an update on the forthcoming consultations and response documents, and upcoming key milestones. DECC highlighted that SEC provisions on the User Entry Process, certain DCC Key Infrastructure (DCKI) documents and updated Common Test Scenarios Document (CTSD) were designated on 6<sup>th</sup> June 2016, and SEC 4.12 came into effect on 15<sup>th</sup> June 2016. DECC will launch a further consultation on SEC & Licence amendments and the delivery of an install & leave policy over the summer.

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

## 12. DCC Update

The Panel were presented with an update on the activities undertaken by the DCC since the last Panel meeting, including an update on testing progress and the status of releases. The DCC highlighted their revised contingency plan had been approved by the Secretary of State (SoS), and outlined the key dates. It was noted that all R1.2 SIT code is now available and that a number of defects have been resolved. The DCC highlighted that a further release of Parse and Correlate was made available on 27<sup>th</sup> May 2016. The DCC informed the Panel of Registration Data Provider (RDP) readiness to commence SIT and that they were working with RDPs to address operational readiness. The Panel also discussed the DCC’s licence objective regarding the charging methodology for SMETS1 meters.

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

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### 13. DCC Reporting

The Panel were provided with a paper that includes reports issued to the Panel from the DCC as required by the SEC. The DCC Performance Measurement Report – April 2016 report (marked DCC Controlled and which DCC have made available to Parties through the DCC SharePoint site) was provided, setting out the Service Levels achieved in respect of each Performance Measure.

The CSR Variance Report – May 2016 will be provided at the July 2016 Panel meeting and will set out Parties' actual number of Certificate Signing Requests (CSRs) against the forecasted volume. Where there are exceptions, the report will also provide details of the Authorised Subscriber whose actual volumes of CSRs is greater than or equal to 100% of their forecasted volumes. It was highlighted that the full report would be public following discussion at the Panel, unless the Panel agreed otherwise.

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

### 14. Implementation of Code Governance Review Phase 3 Final Proposals Update

The Panel were provided with an update on progress made on each of the Code Governance Review Phase 3 (CGR3) key requirements requiring collaborative action since the last Panel meeting. It was highlighted that a cross-Code Administrator meeting was held on 3<sup>rd</sup> June 2016 to discuss how to action the key requirements requiring collaborative action. The Panel were presented with a table setting out SECAS's current progress on actions, as well as the key outcomes and next steps for the key activities discussed at the cross-Code Administrator meeting.

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

### 15. SEC Party Engagement Day Preparations

The Panel were provided with the draft agenda and cost for the SEC Party Engagement Day to be held on 7<sup>th</sup> July 2016. It was highlighted that all speakers had been confirmed and that invitations to the engagement day had been sent out to Parties and uploaded onto the SEC Website.

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

### 16. Operations Report – May 2016

The Panel were presented with the operations report for May 2016. The report provides an outline of SECAS activities undertaken in support of the SEC. SECAS highlighted an error in the report that would be corrected and re-uploaded onto the website. SECAS also highlighted that SMKI Senior Responsible Officer (SRO) and Authorised Responsible Officer (ARO) guidance had been published on the SEC Website. The Panel noted the contents of the paper, which includes a breakdown of days by driver, product and grade and provides commentary related to the activities undertaken by the SECAS team.

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

## 17. Configuration Management Update

SECAS presented the Panel with a paper providing a configuration management update on the new SEC content designated by the Secretary of State in May and early June 2016. The latest SEC versions released in June were SEC 4.11 and SEC 4.12.

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

## 18. Certified Products List (CPL) Testing Update

The Panel were provided with a paper explaining the agreed approach that SECAS and the DCC would take towards the testing of the Certified Products List (CPL). The Panel were informed that further discussions had also been held with stakeholders on the use of the CPL during the User testing phases and that questions had been raised at TSIRS. It was highlighted that guidance was available on the SEC Website, and a CPL Submission Workshop had been held on 10<sup>th</sup> June 2016.

It was noted that prior to the CPL going live, DECC would contact SECAS and the DCC to gain assurance that the CPL was ready for release, and confirm that adequate testing had been conducted. SECAS would then notify Parties of the release, which is expected to be five working days prior to DCC Live.

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

## 19. SEC Panel Member Elections

The Panel were provided with an outline of the process for the scheduled elections for the SEC Panel Elected Members, following vacancies arising from the retirement of Elected Members after their 24-month term. There will be one vacant seat in each of the Party Categories. It was highlighted that the election process would commence in July 2016 with an invitation for nominations.

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

## 20. SEC Panel Role in DCC Live

SECAS provided the Panel with an overview of the duties to be performed by the Panel through the testing phases leading up to DCC Live. A timeline based on the milestones set out in the final decision from the DECC Senior Responsible Owner to the DCC's 9<sup>th</sup> December 2015 SMIP Contingency Request was included in appendix A of the paper.

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

## 21. Change Board Update

SECAS provided the Panel with a paper on the Change Board meeting held on 25<sup>th</sup> May 2016, where members ran through the modification voting process and addressed procedural questions. The Panel was informed that the first Change Board vote on modification SECMP0017 would occur at the next Change Board meeting in July 2016.

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

## 22. SMKI PMA Update

SECAS provided the Panel with a paper on the Smart Metering Key Infrastructure Policy Management Authority (SMKI PMA) meeting held on 10<sup>th</sup> May 2016. A further meeting was held on 14<sup>th</sup> June 2016 where the SMKI PMA discussed the SMKI Remediation action plan provided by the DCC, and the feedback received from the SMKI Recovery Key Guidance document released for consultation on 17<sup>th</sup> May 2016. A paper update on the meeting will be provided to the July 2016 Panel meeting.

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

## 23. Technical Sub-Committee Update

SECAS provided the Panel with a paper on the TSC meeting held on 19<sup>th</sup> May 2016. The meeting focussed primarily on the expansion of the TSC's remit to include the Business Architecture aspect, and on the Modification Proposals currently in the Refinement Process. A further meeting was held on 16<sup>th</sup> June 2016, where the TSC discussed the TSC risk register and the TSC's principles for assessing modifications. A paper update will be provided to the July 2016 Panel meeting.

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

## 24. Security Sub-Committee Update

SECAS provided the Panel with a paper on the Security Sub-Committee (SSC) meeting held on 11<sup>th</sup> May 2016. A further meeting was held on 8<sup>th</sup> June 2016 for which an update will be provided to the July 2016 Panel meeting.

The Panel were informed that the SSC had been looking at a draft risk assessment for the information assets and the information flows to and from the SSC, outlining the possible risks from handling sensitive information. At the June 2016 meeting, the SSC performed a trial run of the Decision Making Principles process in order for SSC Members to familiarise themselves with the approach to providing a Party's assurance status to the Panel. It is expected that the first Full User Security Report will be provided to the Panel at the August 2016 meeting.

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

## 25. Smarter Markets Project Update

SECAS provided the Panel with the monthly update on the activities undertaken in support of the Smarter Markets project. The Panel were informed that Ofgem were pleased with the resources dedicated to the project and the progress to date.

The SEC Panel also discussed the direction that the market is taking towards half hourly settlement, and the implications such a move would have on smart metering and the Great Britain Companion Specification (GBCS).

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

## 26. Transition Governance Update

SECAS presented the Panel with an update from all of the transition governance entities and other smart metering related meetings and workshops attended by SECAS and the SEC Panel Chair in the last month. The Panel Chair provided a verbal update on the SMDG meeting held on 9<sup>th</sup> June 2016, which will be included in the July Transition Governance Update paper.

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

## 27. SEC Panel Activity Planner

The Panel were presented with the SEC Panel Activity Planner as the standing agenda item providing a high level overview of the forthcoming SEC Panel activities and a forward look at Panel agenda items for the next three months, based on the latest information available.

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

## 28. SEC Party Update

The Panel noted that the following organisations would be admitted as Parties to the SEC following countersignature of their Accession Agreements by the SECCo Board:

- Reerve Ltd (Other SEC Party)
- Green Network Energy Ltd (Small Supplier)
- GB Energy Supply Ltd (Small Supplier)
- Comet Energy Ltd (Small Supplier)
- Energy Supply Solutions Ltd (Small Supplier)
- Pilot Energy Ltd (Small Supplier)
- Pioneer Energy Ltd (Small Supplier)
- Santiam Energy Ltd (Small Supplier)
- Sinq Power Ltd (Small Supplier)
- SSE Services Plc (Other SEC Party)

## 29. AOB

The Panel discussed whether the assurance gained by testing a shared service provider could be applied to all the Users sharing its service. The SCF proposes that one report may be used in multiple assessments. The Panel agreed that they were comfortable with this approach.

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