

SEC Panel Meeting 36

Meeting SECP_36_0909, 9th September 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	Andrew Green (alternate)
	Mike Gibson
Electricity Networks	David Lane
	Simon Yeo (observer)
Gas Networks	Sara Neal
	Hilary Chapman (observer)
Other SEC Parties	Mike Woodhall
	Hugh Mullens
Consumer Member	Morgan Wild (observer)
DCC	Paul Hawkins

Representing	Other Participants
BEIS (Secretary of State)	Duncan Stone
	Phillip Milmine (part)
Ofgem (the Authority)	Gwen Cruise
	Raymond Elliot
DCC	Dave Broady (part)
Meeting Secretary	Sasha Townsend
SECAS	Sarah Gratte
	Jill Ashby
	Alys Garrett

Apologies:

Category	SEC Panel Members
BEIS	Tim Guy
Large Suppliers	David Ross Scott
Small Suppliers	Eric Graham

1. Minutes and Actions Outstanding

The minutes from the August 2016 Panel meeting were approved via ex-committee decision, noting that the suggested changes were included in the final minutes.

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
SECCP20/04 SECCP23/08 SECCP28/06	The Panel were informed that the Panel Information Policy and security policy will undergo legal review once the security policy is completed and reviewed by the Security Sub-Committee (SSC) on 14 th September 2016.
SECCP32/07	SECAS advised that a further update will be provided to the Panel at the October meeting, following the Cross Code Administrator meeting scheduled for 13 th September 2016.
SECCP33/02	The Panel were provided with a verbal update on the End to End Design Issues Subgroup (EEDIS) meeting held on 5 th September 2016. The EEDIS discussed the proposed approach to the release and version numbering of Technical Specifications in the SEC. There will be future EEDIS sessions to inform the proposed changes to the supply licence conditions, the DCC licence and the SEC. A forthcoming consultation is expected in mid-September and will conclude in December 2016. SECAS advised that the slides will be circulated to the Panel and a detailed paper will be presented in October.
SECCP35/04	The Panel were informed that SECAS will attend the Independent Supplier Forum which will be hosted by the DCC on 14 th September 2016. This will give an opportunity to further collate the list of active Small Suppliers. A further update will be provided to the Panel at the October meeting.

2. User CIO Assessment Reports – August 2016

The Panel were provided with the report, response, and the recommendation of the Security Sub-Committee (SSC) for an organisation, following their Full User Security Assessment. This was in order for the SEC Panel to review and set the assurance status of the Party, in relation to its compliance with each of their obligations under SEC Sections G3 to G6 in the relevant User Role. The User Security Assessment Report and User Security Assessment Response are classified as SSC Red

and were provided to the Panel via Egress, a secure cloud solution for handling and storing of confidential information. SECAS reiterated that the information provided is strictly confidential and should not be discussed outside of the Panel meetings. The Panel were also provided with an overview of the User Security Assessment process and the four possible assurance statuses, which were further outlined in Appendix 1 to the paper.

The Panel's decision on the assurance status is documented in the confidential minutes. It was noted that the Panel's decision will be communicated to the assessed Party.

The Panel:

- **NOTED** the contents of this paper; and
- **AGREED** upon an assurance status for the Party following their consideration of the confidential appendix.

3. DCC CIO Build and Test Report

The Panel were provided with a paper including the 'Smart DCC CIO Build and Test Report including Management Responses' as Appendix B. The report is an assurance review of the DCC undertaken by the appointed DCC Competent Independent Organisation (DCC CIO), across each of the design, build, and test stages. In accordance with the DCC Licence, the DCC is required to produce and implement a remediation plan, in consultation with the Panel, based on the recommendations provided in the report. These actions were provided in Appendix C to the paper. The final report and action plan were presented to the Transitional Security Expert Group (TSEG) on 31st August 2016 for their review. The TSEG's recommendation to the Panel was provided in Appendix D to the paper.

The documents are strictly confidential and were provided to the Panel via Egress, a secure cloud solution for handling and storing of confidential information. The Panel's considerations and discussions are documented in the confidential minutes.

4. Impacts on SEC Panel and Operations

The Panel were provided with an overview of the Government and DCC consultations issued in August 2016 and matters that have arisen that may have an impact on the SEC Panel, SEC Parties, and related obligations.

On 16th August 2016, BEIS issued a consultation on a direction letter to bring various SEC provisions into legal effect. The two designations that would occur as a result of the Direction will activate a number of SEC Subsidiary Documents and make variations to content of the SEC provisions that will come into effect at DCC Live and Certified Product List (CPL) Live. The Panel were informed that this will activate SEC Section F2 which introduces new Panel obligations to establish and maintain the CPL. SECAS advised that they are satisfied that all operational requirements have been completed to support the creation and maintenance of the CPL. It was noted that a test version of the CPL has been provided to the DCC and SECAS are fully prepared to deliver what is required for DCC Live. Therefore, SECAS are not aware of any reason to delay the proposed dates for designation and proposed to send a letter signed by the SEC Panel Chair to BEIS confirming SECAS readiness.

The Panel were also informed that User Entry Process Testing commenced on the 1st September 2016. SECAS advised that they would continue to monitor the DCC's CPL testing and will provide any updates and related Panel risks as and when they are required.

The Panel:

- **NOTED** the contents of the paper; and
- **AGREED** that SECAS should prepare a response for the SEC Panel Chair to sign, advising BEIS that SECAS is operationally ready for the proposed CPL Live date.

5. Amendments to the ID Allocation Procedure

SECAS provided the Panel with a paper setting out the amendments required to the ID Allocation Procedure document following the designation of SEC version 4.14 and the proposed consultation timetable for the Panel to agree. The Panel were informed of the change that is needed to align the document with the current SEC content that allows SECCo to be issued a Party Signifier to enable the Panel to digitally sign the CPL.

It was highlighted that the Panel is required to consult with Parties, Registration Data Providers (RDPs), and the DCC prior to making any amendments to the ID Allocation Procedure document. SECAS proposed that the consultation be issued on Monday 12th September 2016 for a two-week period and that the consultation responses should be provided in a paper at the October Panel meeting. The Panel recognised that this is standard procedure and agreed the consultation timetable as presented.

The Panel:

- **NOTED** the contents of the paper;
- **CONSIDERED** the proposed consultation timetable; and
- **AGREED** for SECAS to issue the amended ID Allocation Procedure to SEC Parties, RDPs, and the DCC for consultation.

6. Post-DCC Live Temporary Alternative Arrangements

The DCC presented the Panel with the proposed temporary alternative arrangements for Planned Maintenance post-DCC Live and the DCC's proposal for suspension of DCC Services during Business Continuity Disaster Recovery (BCDR) live testing. The presentation was marked as DCC Controlled in error and therefore the discussions under this item have been provided in the non-confidential minutes.

The DCC highlighted that SEC Section H8.3 requires the DCC to limit Planned Maintenance of the DCC Systems to no more than six hours in any month. The DCC informed the Panel that they consider six hours to be sufficient for the enduring live environment of the DCC Systems, but due to the anticipation that there will be an unpredictable volume of issues following DCC Live, they are seeking variations to relax the maintenance schedule.

The DCC provided the Panel with the proposed temporary maintenance schedule that, if approved, will apply during the six months following DCC Live. The proposed schedule specifies that a maximum of eighteen hours of maintenance will be permitted each month, which will be allocated to two-hour windows. These windows will commence no earlier than 00:00 every Tuesday and Friday, and will end no later than 06:00 on the same day. The Panel Chair requested clarity on the distinction between Planned and Unplanned Maintenance, as it was noted that the proposed schedule suggests that Planned Maintenance that overruns the two-hour window will then be labelled as Unplanned

Maintenance. It was highlighted that extensions will be treated as Unplanned Maintenance to recognise the overrun as an event. It was noted that in the event of an extension, SEC Parties, RDPs, the Technical Architecture and Business Architecture (TABASC), and the SSC will be informed in accordance with SEC Section H8.6 and H8.7.

The Panel were informed that the proposed temporary maintenance schedule has been developed with input from the Service Management Design Forum (SMDF) and underwent industry consultation. In accordance with SEC Section H8.3, the Panel are required to agree any variations to the DCC's Planned Maintenance obligations. The DCC provided the Panel with a summary of the comments received as a result of the consultation and the DCC's response to the expressed concerns.

A Panel Member expressed their concern with regard to the level of information provided and whether it gives sufficient detail to facilitate the Panel's considerations. The Panel Member also requested sight of the full consultation responses.

The Panel Chair highlighted that SEC Parties require sufficient time, from the publication of documents, to contact the relevant Panel Member in order to represent their Party's views. Therefore, although the Panel commented that they are generally sympathetic to the proposed variation, the Panel requested that due process is followed and the decision to approve is deferred to the October 2016 Panel meeting.

The Panel were informed that SEC Section H10.11 requires the DCC to carry out BCDR testing on the DCC Systems at least once each year post-DCC Live. The DCC highlighted that some tests will require the DCC Service to be suspended for a short period of time, but it was noted that the SEC does not currently include provisions relating to these outage times. The DCC presented the Panel with a set of proposals to manage the outage during BCDR live testing, which were developed with input from the SMDF and adapted following industry consultation.

The DCC advised that there will be two outages to DCC systems; four hours to allow the switch to the backup systems and then four hours for the reversion at the end of the test phase, noting that these outages will be up to two weeks apart. Following some respondents stating that they require more than 20 Working Days (WDs) notice, the DCC propose to publish an indicative test plan 30WDs prior to testing. The DCC also highlighted that the most supported time for outages to commence was 20:00 on a Friday and should last until 00:00 the following day. As BCDR has the potential to be a disruptive event, it was noted that this time will be reviewed following the first outage, based on feedback from Users and RDPs.

The Panel were informed that the DCC have an obligation to report the outcomes of testing to the Panel and the Authority. The DCC asked the Panel to note the contents of this presentation and welcomed any comments on the BCDR live testing proposal. The Panel Chair questioned whether BCDR testing comes under Planned Maintenance, and does it therefore exceed the proposed 2-hour window in the variation to the temporary maintenance schedule. It was noted that further work is needed to define how BCDR will be measured.

The Panel:

- **NOTED** the contents of the presentation; and
- **DEFERRED** the decision on the DCC's proposed temporary alternative arrangements for Planned Maintenance post-DCC Live.

ACTION SECP36/02: The DCC to provide the Panel with the full commentary and responses to the consultation on the proposed temporary maintenance schedule and re-submit for decision at the October Panel meeting.

7. SEC Panel Risk and Issue Register Update

The Panel were provided with the updated Risk Register following the monthly review by SECAS. SECAS apologised for the administration error which listed this as 'DCC Controlled' on the Final Agenda. SECAS highlighted that no new risks had been identified since the last Panel meeting.

The Panel were informed that issue 1 and risk 19 mitigations have been amended slightly to reflect the DCC's presentation on the process for introducing meters into testing provided at the August 2016 Panel meeting. It was also noted that the 'Switch to Devices during testing' mitigations will remain, as the DCC still intend to use Test Stubs to aid the completion of System Integration Testing (SIT), Interface Testing (IT) and User Entry Process Testing (UEPT).

SECAS also highlighted minor amendments to risk 21, following mitigations being actioned by the selection of Casewise for the use as the business process modelling tool for the Business Architecture Document (BAD).

The Panel:

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

8. SEC Panel Budget Timetable

SECAS presented the Panel with an outline timetable for the preparation of the SEC Panel budget and associated work plan for financial years 2017-2020. It was highlighted that the timetable had been designed to allow sufficient time for draft, review, and consultation prior to the Approved Budget being in place prior to the next Regulatory Year, in accordance with SEC Section C8 requirements.

SECAS advised the Panel that they will develop the outline of the Draft Budgets in September 2016, with the Panel Finance, and Contracts Sub-Group's (PFCG) engagement. It was noted that the PFCG's membership requires review and the following Panel Members agreed to participate:

- Alex Travell (Large Supplier)
- Mike Gibson (Small Supplier)
- David Lane (Network Party)
- Hugh Mullens (Other SEC Party)

It was also noted that the Panel Chair will participate in the PFCG's discussions.

The Panel were informed that the first Draft Budget will be presented for the Panel's and Sub-Committee's consideration in October 2016 as confidential papers. In order to increase Party engagement and support transparency of the budget process, SECAS will email any draft versions of the document to SEC Parties following the Panel's agreement. SECAS also noted that a teleconference will be arranged to talk through the Draft Budget and to give Parties the opportunity to ask questions. The Draft Budget will then be published formally for SEC Party consultation for 20 WDs in January 2017, in line with the SEC.

The Panel:

- **NOTED** the contents of the paper;
- **AGREED** for SECAS to hold discussion with the PFCG on initial drafting;

- **APPROVED** the timetable for the development of the budget set out in table 1 of the paper; and
- **APPROVED** the approach to SEC Party engagement set out in Section 3 of the paper.

9. SEC Panel Meeting Dates

SECAS provided the Panel with the proposed 2017 SEC Panel meeting dates for the Panel's approval. It was proposed that, from January 2017, the monthly Panel meeting continues with the current schedule, with meeting taking place on the Friday following the second Thursday of each month. However, SECAS highlighted that there is an exception for April 2017 due to the Good Friday Bank Holiday when the meeting will occur one week later.

The Panel:

- **NOTED** the contents of the paper; and
- **AGREED** the proposed meeting date schedule for 2017.

ACTION SECP36/03: SECAS to send meeting invitations for 2017 to Panel Members.

10. SMKI PMA Update

The Panel were provided with a paper on the Smart Metering Key Infrastructure Policy Management Authority (SMKI PMA) meeting held on 9th August 2016. During the meeting, the SMKI PMA reviewed and addressed the comments received from industry on the SMKI Recovery Key Guidance Consultation. In light of industry comments with regards to the document originally containing a large amount of sensitive data, it was decided that the document will be maintained by the SMKI PMA and will contain high level information to enable the group to react to a compromise (or suspected compromise) event.

The Panel were also provided with the updated SMKI PMA Terms of Reference (ToR), in Appendix A to the paper, for the Panel's approval. SECAS highlighted that amendments have been made to align the ToR with version 4.12 of the SEC, which includes a provision to allow the SMKI PMA to convene within a 24-hour notice period following a request from the SMKI PMA Chair in exceptional circumstances.

A Panel Member asked for clarity on whether a reference to the SSC on page 9 of the ToR should be actually be a reference to the SMKI PMA. SECAS confirmed that this a typing error and will be corrected prior to publication. The Panel also questioned when the references to DECC will be amended to BEIS. SECAS advised that all ToR will need to be updated following the publication of the Panel Information Policy, and so all DECC references will be amended in all Sub-Committee ToRs. A Panel Member also noted that as materials marked as RED may be shared with Panel Members in order for them to fulfil their duties and this should be reflected within the ToR.

It was noted that, although these updated SMKI PMA ToRs were reviewed by the Strategic Assurance 16 Steering Group (SA16 SG), future amended ToRs will no longer need to be presented to the group as the Transitional Policy Management Authority Group (TPMAG) no longer exists.

The Panel:

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

- **APPROVED** the SMKI PMA ToR v1.6 (subject to the mentioned error being rectified).

ACTION SECP36/04: SECAS to change DECC references to BEIS in all Sub-Committee ToRs when updates are made following the publication of the Panel Information Policy.

11. DCC Live Decision Making Process

The Panel were provided with an update on the outputs of the recent trilateral discussions between the Panel Chair, BEIS and the DCC, regarding the DCC Live Decision Making Process. SECAS provided the Panel with a recap of the necessary decision and review points for each of the bodies involved.

A draft of the BEIS Request for Information letter was presented to the Panel by the Secretary of State (SoS) in the Confidential Appendix A of the paper. This letter will set out the requirements for the DCC to provide a DCC Live Services Criteria Report to demonstrate assurance against nine DCC Live Criteria and of the DCC's readiness to commence DCC Services. BEIS advised that this letter will be sent to the DCC in the week commencing 12th September 2016.

The Panel were also presented with a draft of the DCC Live Service Criteria Report, which will be in the form of an assertion letter, in Confidential Appendix B. The assertion letter and a direction letter from the SoS (draft provided in Confidential Appendix C) will be sent to the Panel to request any comments in accordance with their role as outlined in SEC Section X.

SECAS presented a high level draft of the proposed letter that will be sent in response to the SoS direction letter, outlining the Panel's review of the assertion letter and any comments or recommendations (provided in Confidential Appendix D to the paper). It was noted that the letter is based on a positive response and a section has been left unpopulated for any comments or concerns emerging from Panel discussions, to be included if necessary. It was noted that the DCC will be copied in to the response submitted to the SoS. Discussions followed on further transparency of the response letter and it was questioned whether it should be made available to SEC Parties. The Panel Chair highlighted that the Panel are providing assurance for DCC Users and so it was suggested that all the documentation should be accessible to SEC Parties, including the letters to the SEC Panel and the DCC.

The Panel Members discussed their ability to consider some aspects of the assertion letter and make informed comments or recommendations to the SoS. It was highlighted that the Testing Advisory Group (TAG) will be reviewing and discussing the testing related documentation. Any relevant recommendations from TAG will then be provided to the Panel prior to their discussions. SECAS also advised that the TAG Chair and relevant TAG Members can attend the meeting scheduled for 28th September 2016 to provide support, to ensure clean and concise recommendations are given to the SoS. The Panel Chair also highlighted that any further concerns on the ability to consider certain aspects can be expressed in the response letter sent to the SoS.

BEIS questioned whether there is a need for a meeting between BEIS, the DCC, and the Panel at the beginning of the DCC Live Decision process to discuss any aspects where BEIS have requested more clarity from the DCC. The Panel Chair suggested that this may confuse the Panel's role which is to give a view on the assertion letter provided and not any prior discussions between BEIS and the DCC. However, the Panel noted that it would be beneficial to have sight of any BEIS requests for clarity, so that the Panel can assess whether all areas have been covered. It was agreed that BEIS would contact the Panel Chair to highlight any questions that have been submitted to the DCC, and then a decision will be made on whether an additional Panel and BEIS teleconference is necessary.

The Panel:

- **NOTED** the contents of the paper; and
- **DISCUSSED** and provided feedback on the confidential appendices.

ACTION SECP36/05: SECAS to cancel the placeholder meeting scheduled on 23rd September 2016, and schedule a meeting for a DCC Live Decision documentation review on 28th September, if required.

12. Release Management

The Panel were presented with an overview of Release Management, including the requirements for the Panel Release Management Policy (RMP) and the DCC RMP, the Panel's leadership role, and the frequency of releases. It was highlighted that the Panel RMP sets out indicative lead times for a change to be included in a release; 12 months for a change impacting systems or one month for a documentation only change. Following a letter from BEIS issued in August 2016 clarifying the responsibilities surrounding enduring releases, BEIS, the DCC, and SECAS met to further discuss release cut off dates, the Panel's leading role, and how the scope of planned resources is confirmed. Based on the discussions and feedback from the DCC, the cut off dates for DCC System changes to be included in the June 2017 and November 2017 releases will be 30th September 2016 and 1st November 2016, respectively.

It was noted that based on discussions, there is an assumption that no SEC Modification Proposals impacting DCC Systems can be implemented in June 2017 (often referred to as Release 2), subject to the confirmation of lead times that will be provided in DCC Preliminary Assessments (PAs). The Panel were presented with a table displaying the potential release content for the forthcoming three releases, including indicative examples based on the recent trilateral discussions. This table has been developed to aid the Panel in keeping track of BEIS led-change, SEC Modification Proposals, and DCC Internal Changes in release content, and it was noted that extra detail will be provided at a change-specific level in the future.

The Panel were also informed that the 1st November 2016 cut-off date for November 2017 Release may not be achievable for a number of Modification Proposals currently in the process. This assumption is based on current revised modification progression timescales in light of the delay in the delivery of DCC Preliminary Assessments (PAs) and Impact Assessments (IAs) and the timing taken for modifications to go through the process. It was noted that this assumption may change following the delivery of the PA and IAs currently with the DCC.

Discussions followed on whether the suggested BEIS-led changes and DCC internal changes listed in the presented table are achievable for the June 2017 Release. BEIS advised the Panel that the option to do without a June release was discussed due to the cost versus benefit argument of each change. The Panel Members also discussed the potential of system defects Post-DCC Live and whether this could affect the capacity to include the proposed BEIS-led changes and DCC internal changes in June 2017.

The Panel Chair highlighted that SEC Parties and BEIS will want clarity on the costs to the DCC, if any, of implementing changes for the June 2017 release and it was stressed that the relevant Impact Assessments on the BEIS-led and DCC internal changes need to be completed quickly.

A Panel Member questioned whether the content proposed for June 2016 will still be achievable if the Release 1.3 date is delayed following the final decision outcome of the re-plan consultation. The DCC

stated that it would need to assess the constraints caused by any future re-scheduled Release 1.3 and advised that they will provide an update to the Panel. The Panel noted that these constraints may have a further impact by delaying the content proposed for implementation in the November 2017 Release, and so it is important that this is considered in all DCC Impact Assessments. The Panel Chair emphasised that SEC Parties need clarity on when change will be implemented.

A Panel Member questioned whether a change can be dropped from an agreed release after the relevant cut off dates. In terms of SEC Modification Proposals, SECAS highlighted that they can be included in a release subject to the outcome of the Authority Determination and then withdrawn if they are rejected. In terms of BEIS-led and DCC Internal Changes, the DCC advised the Panel that they will check this and confirm at the next Panel meeting.

Discussions followed on the details of the listed changes in the example table presented. It was noted that this table will be presented to the Panel as a standing agenda item and will be populated with further detail on each BEIS led-change, SEC Modification Proposals, and DCC Internal Changes. It was agreed that this should happen as soon as possible to facilitate the release decision on 30th September 2016. The Panel also agreed that the change/modification references should be added to the table to increase transparency. It was also suggested that Issue Resolution Proposal (IRPs) should be included in the table to inform the Panel of the statuses. The DCC highlighted that these are not likely to be included in the June 2017 Release, and so they have been omitted at this time.

To summarise, it was agreed that the Panel Chair would write to BEIS confirming the SEC Panel requirement to include in the June release the two areas of functionality that have been associated with BEIS led variations to the SEC, these being the EUI-64 Identifiers and the Self Service Interface functionality as defined in SEC H8.16.

The Panel:

- **NOTED** the contents of the presentation; and
- **AGREED** the release content for June 2017.

13. SEC Modification and Release Process Thought Piece – Action Areas

Following the discussion surrounding the ‘SEC Modification and Release Process’ presented to the Panel at the August 2016 meeting, it was agreed that SECAS should provide a further update to agree and confirm the areas that require further action. The Panel were provided with a paper including this update and an action table for the Panel’s consideration.

SECAS gave the Panel an overview of the four broad areas in which the actions are categorised in Appendix A of the paper:

- **Quick Wins:** Activities that can be undertaken now with little additional effort;
- **Further thought – No SEC change required:** Areas requiring further thought and development, but can be actioned within the current SEC provisions;
- **Further thought – SEC change required:** Areas requiring further thought and development and would require changes to current SEC provisions; and
- **No action:** an area or matter that should not be taken forward at this time.

It was highlighted that each action has been allocated a reference number and an expected delivery timeframe.

Ofgem questioned the necessity to develop a Working Group member pack to clarify roles and responsibilities to prevent Parties obstructing the Modification Process (reference 10). It was noted that the ToRs are to inform roles and responsibilities and the Working Group Chair should endeavour to prevent obstructions during Working Group meetings. SECAS advised that they are in the process of discussing the members' pack and an update for further clarity will be provided at the October Panel meeting.

The Panel discussed reference 2 and queried whether the Sub-Committees ToRs will need to be amended in order to utilise the Sub-Committees to support the discussion of matters that may require a modification. SECAS advised that this could be achieved through guidance for the Sub-Committees and the Proposer, and the proposed guidance will be presented for the Panel's approval in the future.

A Panel Member highlighted that, although the materiality of the SEC was often considered as a barrier for the use of a Change Proposal process or the development of a two/three tier process for change (reference 4), it could be beneficial to review other methods to reduce the amount of Modification Proposals. For example, the removal of relevant parameters and the introduction of a change process in place of those parameters should be considered when changes to the SEC are implemented. The Panel could then be responsible for that simplified change process. SECAS advised that the area had been categorised as 'no action' as there was a lack of a clear candidate, however, a further review can be undertaken and this will be a key consideration during the early stages of potential modifications.

The Panel:

- **NOTED** the contents of the paper; and
- **AGREED** the status and priority of each action area, subject to further thought on reference numbers 2, 4, and 10.

ACTION SECP36/06: SECAS to review reference numbers 2, 4, and 10 to provide further clarity to the Panel.

14. SEC Modifications – DCC Assessments

The DCC provided the Panel with an update on the progress with the production of PAs and IAs (together 'DCC assessments') for SEC Modification Proposals. This standing monthly update was agreed at the July Panel meeting, following a letter from the DCC regarding its ability to deliver DCC assessments, and provides the expected delivery dates and any applicable rationale for any changes.

The DCC highlighted that no further changes have been made to the necessary target delivery dates since the last correspondence between the DCC and the Panel. It was also noted that the report will be amended to distinguish the targeted delivery date (first column in the provided table) from the achieved delivery date.

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

15. Modification Status Report – September 2016

SECAS presented the Panel with an update on the status and progress of Modification Proposals going through the Modification Process. In September 2016, 16 modifications were undergoing the Refinement Process. The Panel were informed that the SECMP0017 '*CGR Phase 3 outcomes: Code Administrator to chair modification Working Groups*' issued on 27th July 2016 was implemented on

17th August 2016. It was also noted that further to the Proposer stating their wish to withdraw SECMP0014 '*Standardise formatting of device ID*' on 8th August 2016, SECAS did not receive any expression of intent to adopt the modification and so it was formally withdrawn on 22nd August 2016.

SECAS provided the Panel with an update on developments from the five SEC Working Groups (WG). It was highlighted that since the publication of the document, WG3 and WG4 also met on the 2nd September 2016 and 5th September 2016, respectively. The key outcome from WG3 was that in order to progress SECMP0009 '*Centralised Firmware Library*', the members agreed that SECAS and the Proposer should develop a full strawman solution for the WG to approve at their next meeting.

A Panel Member questioned whether all Modification Proposals were progressing to the timetables that were approved by the Panel at the September 2016 meeting. Although SECAS confirmed that they were in line with the timetables, the Panel noted that it is hard to engage with the ongoing progression of every active Modification Proposal. It was agreed that in order to give Panel Members more sight of the active modifications, SECAS should arrange an optional modification walkthrough session prior to the next Panel meeting. This will then give the Panel Members an opportunity to ask any specific questions on particular modifications.

It was also highlighted that it is difficult for Parties to determine the progression of modifications, in relation to their timetables, by looking at the Modification Register hosted on the SEC Website. SECAS highlighted that an extended version of the Modification Proposal table (presented in section 3 of the Modification Status Report) is provided in an excel Modification Register that can also be accessed through the SEC Website. A Panel Member suggested that a link to this spreadsheet is added to each modification page in the Modification Register.

The Panel also discussed suggested further changes to the Modification Status Report. It was noted that it is not clear that the 'implementation' counter in the diagram displayed in section 1.1 represents Modification Proposals that are pending implementation. It was therefore agreed that 'pending' should be added to the title. The Panel also noted that the Release Contents (section 4 of the Modification Status Report) could reflect feasible release dates, rather than the Proposer's targeted releases. SECAS highlighted that they are required to provide Proposer's target dates in line with the Code Administrators Code of Practice(CACoP), but advised that this can be adapted once candidate release dates are informed through the DCC PAs and IAs.

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

ACTION SECP36/07: SECAS to arrange an optional modification walkthrough session for Panel Members scheduled before the next meeting.

ACTION SECP36/08: SECAS to add a link to the Modification Register spreadsheet to each modification page on the SEC Website.

ACTION SECP36/09: SECAS to add 'pending' to the implementation counter title in the diagram presented in section 1.1 of the Modification Status Report.

16. DCC Update

The DCC presented the Panel 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 that the conclusions on the Release 1.3 plan was submitted to BEIS on 31st August 2016. The final BEIS decision on the plan will be dependent on the outcome of the DCC consultation on further System Integration Testing (SIT) and Integration Testing (IT) overlap that closes on 12th

September 2016. The Panel were also informed that all the SMKI and Repository Testing (SRT) work-off items have now been completed and closed.

The DCC advised that User Entry Process Testing (UEPT) commenced on 30th August 2016 in respect of the Self Service Interface (SSI) and on 1st September 2016 in respect of Service Request (SR) testing. This is for the Import Supplier and Gas Supplier User Roles in the Central and South Region, and Import Supplier for the North Region. The Panel were informed that the TAG will be receiving future testing reports on a Region by Region basis.

The DCC also highlighted that there is a blocking defect between the Gas RDP and the Data Service Provider (DSP) that has delayed testing completion. However, testing has been completed by all of the Electricity RDPs. SECAS noted that representatives from the RDPs will be invited to future TAG meetings.

The Panel were informed that the consultation on the arrangements for additional support closed on 15th September 2016. The DCC also outlined a number of personnel changes within the DCC.

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

17. DCC Reporting

The Panel were provided with a paper that included reports issued to the Panel from the DCC as required by the SEC. The DCC Performance Measurement Report – July 2016 (marked DCC Controlled and which the DCC published on 25th August 2016) was provided in Appendix B of the paper, setting out the Service Levels achieved in respect of each Performance Measure.

The Certificate Signing Request (CSR) Variance Report for July 2016 was provided in Appendix A of the paper. The report sets out the actual number of CSRs against the forecasted volumes and, where there are exceptions, the details of the Authorised Subscriber whose actual volumes of CSRs is greater than or equal to 100% of their forecasted volumes. SECAS advised that there are no decisions for the Panel to make with regard to omitting any parts of the report concerning under or over forecasting. Therefore, the report will be published on the SEC Website.

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

18. BEIS Update

BEIS presented the Panel with an update on the forthcoming consultation and response documents, and upcoming key milestones. It was highlighted that the consultation on DCC Live SEC Activation closes on the 16th September 2016. BEIS also advised the Panel that the SEC and Licence amendments consultation will be published in the coming week. It was noted this includes the consultation on SEC Section N with regards to enrolment. The Panel were also advised that if further analysis is required as a result of this consultation, then a second consultation will be published.

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

19. Operations Report – August 2016

SECAS presented the Panel with the operations report for August 2016. The report provides an outline of SECAS activities undertaken in support of the SEC and includes a breakdown of days by

driver, product, and grade. SECAS outlined changes that have been made to figure 1 of the report (SECAS core functions resources). It was noted that the Operations and Governance Analyst vacancies are undergoing recruitment in order to fill the positions.

SECAS highlighted that a lot of activity had still taken place in the modifications area due to the high volume of modifications going through the process and the 'modification and release thought piece'. It was also highlighted that activity has taken place to prepare for the Spotlight on the SEC Seminar that was held on 16th August 2016 and the designation of SEC 4.15 on 18th August 2016.

The Panel Chair noted that a lot of activity has taken place to prepare for the Business Architecture Document (BAD) workshop that is scheduled on 20th September 2016 and questioned why it had been omitted from the report. SECAS advised that it is not part of the SECAS Core Functions, however, it can be included in future for further information.

SECAS informed the Panel that the project scoping that is due to be undertaken by Gordon Hextall will be presented for the Panel's approval following the Sub-Committees review. This project is in order to inform the activities and time required for TABASC to fulfil its duty in reviewing and reporting on the effectiveness of the End-to-End Technical Architecture.

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

20. SEC Panel Elections Update

SECAS advised that the Panel Elections have now concluded. The Panel were informed that Hugh Mullens had been reappointed to the vacant Other SEC Party seat. It was noted that a communication will be sent to all Parties in the week commencing 19th September 2016.

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

21. Configuration Management Update

SECAS provided the Panel with a paper providing a configuration management update on the new SEC content designated by the Secretary of State in August 2016. The latest SEC version 4.15 was released on 18th August 2016. This was to implement SECMP0017 "CGR3: Code Administrator to chair modification Working Groups" and to re-designate SEC Appendix J: Enduring Testing Approach Document.

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

22. SEC Panel Role in DCC Live

SECAS presented the Panel with an overview of the duties to be performed by the Panel through the testing phases leading up to DCC Live. The paper provides an update on the milestones set out in the final decision from the BEIS Senior Responsible Officer to the DCC's Smart Metering Implementation Programme (SMIP) Contingency Request (July 2016) circulated on 12th August 2016.

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

23. TABASC Update

SECAS provided the Panel with a paper on the Technical Architecture and Business Architecture Sub-Committee (TABASC) meeting held on 18th August 2016. The TABASC discussed the TABASC principles to assess Modification Proposals.

A further meeting will be held on 15th September 2016 for which an update will be provided to the October Panel meeting.

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

24. Security Sub-Committee Update

SECAS presented the Panel with a paper on the Security Sub-Committee (SSC) meeting held on 10th August 2016. In addition to discussing developments pertaining to security arrangements, the SCC reviewed a Full User Assessment Report and made a recommendation on the assurance status for an Electricity Network Operator.

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

25. Testing Update

SECAS presented the Panel with an update on testing progress, including an update on the TAG meeting held on 16th August 2016. During the meeting, TAG considered the implications of the revised DCC Release Plan for Release 1.2 and 1.3. It was noted that TAG meetings have been scheduled for 23rd, 26th and 27th September 2016 to review and provide a recommendation to the SEC Panel in relation to the DCC's test completion reports, most relevantly the Interface Testing Completion report. The DCC also highlighted that all Large Suppliers have begun UEPT since the publication of the testing update.

The Panel:

- **NOTED** the contents of the paper; and
- **NOTED** the contents of the accompanying Confidential Appendix A.

26. Smarter Markets Project Update

SECAS provided the Panel with the monthly overview on the activities undertaken in support of the Smarter Markets project, including updates from the three design teams set up to support the Blueprint Phase: Business Process Design, Delivery Strategy, and Regulatory Design. The Panel were informed that there has been increased activity within the Business Process Design Team on the data model and information needs for the Delivery Strategy and Regulatory work streams.

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

27. Transition Governance Update

The Panel were provided with an update 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 Smart Metering Delivery Group (SMDG) meeting held on 8th September 2016, which will be included in the October Transition Governance Update paper.

The Panel were informed that SMDG discussions focused on the commencement of UEPT and the Full User Assessments that are progressing through the process and being reviewed by Panel. The Chair also highlighted that BEIS presented SMDG with an update on their domestic research project. This project includes a customer experience survey of two thousand domestic smart meter Consumers and a Supplier mystery shopper exercise.

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

28. SEC Panel Activity Planner

The Panel were provided 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. It was highlighted that this has been updated to reflect the recent Panel elections and the forthcoming Draft Budget activities.

The Panel **NOTED** the contents of the two appendices to this paper.

29. SEC Party Update

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

- Mongoose Energy Supply Limited (Small Supplier)
- Dong Energy Limited (Small Supplier)
- Breeze Energy Supply Limited (Small Supplier)
- Brook Green Trading Limited (Small Supplier)

30. Any Other Business

SECAS informed the Panel that they had received communication from Ofgem with regard to the Cross Code Administrator Survey, which was one of the key outcomes from the Code Governance Review Phase 3. The Panel were informed that following a procurement process, Ofgem have recruited Future Thinking Limited to undertake the survey. SECAS have been asked to provide a list of contact details for all of the SEC Parties, which requires the Panel's approval. The indicative timetable, which has been provided by Ofgem, states that Parties will be contacted initially in early October 2016 to confirm participation, with the telephone survey then occurring in early November 2016. The Panel were informed that SECAS has been categorised as a large Code Administrator and therefore will be required to contribute £5,000. The Panel **AGREED** for SECAS to contact SEC Parties for their agreement in sharing their contact information and **NOTED** the costs as discussed.

The Chair informed the Panel that Sarah Neal, the Gas Network Panel Member, would be stepping down to the Alternate Gas Network Panel Member shortly and this would be her last Panel meeting. On behalf of the Panel, the Chair thanked Sara Neal for her input and knowledge over the many meetings she has attended.

The Panel were informed that the Panel Chair's tenure comes to an end at the end of March 2017. It was highlighted that Peter Davies can reapply for the role, in accordance with the SEC, and the

Administered by

SECCo Board may decide to reappoint him. SECAS noted that if Peter Davies is reappointed, a letter will have to be sent to Ofgem advising this. It was also noted that if the Board decide not to reappoint Peter Davies, then the selection and election process will have to begin as soon as possible. The Panel agreed that the Board should discuss this at the September 2016 Board meeting.

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