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Operations Report – May 2019

Purpose

The Operations Report is a monthly update based on SECAS activities in support of the SEC. It includes a breakdown of days by budget driver, and provides commentary relating to the activities undertaken by the SECAS team in May 2019.

Recommendation

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

Holly Burton

SECAS Team

7 June 2019

Attachments:

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

1. Market Entry and Exit

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

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

1.1 Accessions

The following Applicant is to be admitted as Party to the SEC, subject to the execution of an Accession Agreement by the SECCo Board:

Organisation	Party Category
Temple Energy Limited	Small Supplier Party

Table 1: Applicants that will accede to the SEC

1.2 Events of Default

There are four SEC Parties currently in Default. Confidential Panel paper SECP_69_1406_04 – Current Events of Default update provides further information.

1.3 Market Exit

No SEC Parties exited the market in May.

1.4 User Entry Process (UEP) completion

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

SEC Party	Party Category	DCC User role(s)	Date of UEP completion
Maxen Power Supply Limited	Small Suppliers	Import Supplier, Export Supplier, Gas Supplier	05/06/2019 – FULL UEP

1.5 Testing Update

SMKI and Repository Entry Process Testing (SREPT)

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

Completion of the User Entry Process Testing (UEPT)

Since the last SEC Panel meeting, SECAS has been informed of four SEC Parties having successfully completed UEPT for four User Roles. The details are provided in confidential Appendix B of this paper.

1.6 Membership

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

- acceded to the SEC;
- are in Default;
- withdrew from the SEC; and
- were expelled from the SEC.

	May 18	Jun 18	Jul 18	Aug 18	Sep 18	Oct 18	Nov 18	Dec 18	Jan 19	Feb 19	Mar 19	Apr 19	May 19
Accessions	15	2	6	1	0	2	2	3	3	10	3	3	1
In Default	1	1	1	2	3	4	4	5	4	6	5	4	4
Withdrawals	0	0	0	1	0	0	0	0	0	0	0	0	0
Expulsions	0	0	0	0	1 ¹	0	1 ²	3 ³	1 ⁴	1 ⁵	1 ⁶	0	0

Table 3: SEC Party Statistics

At the end of the reporting month, there were 330 Parties to the SEC representing 260 Voting Groups, including the DCC.

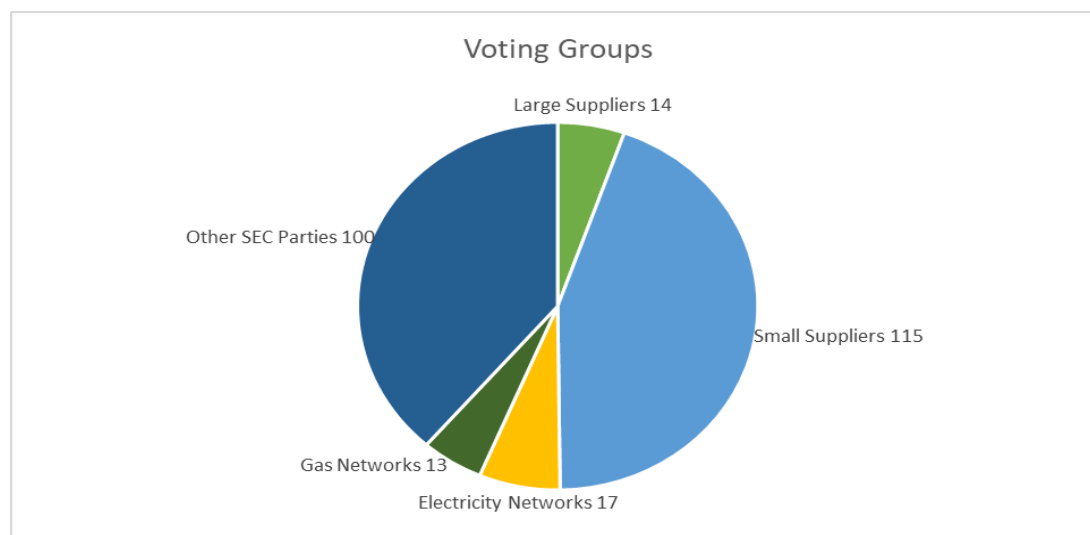


Figure 1: Breakdown of SEC Party Voting Groups (excluding DCC)

¹ Iresa Limited was expelled from the Code following revocation of its Electricity and Gas Supply Licences.

² Gen4U was expelled from the Code following the revocation of its Licences by Ofgem, having gone into administration.

³ Usio, Extra Energy and One Select were expelled from the Code following revocation of their Licences by Ofgem, having entered insolvency.

⁴ Economy Energy was expelled from the Code following revocation of their Licence by Ofgem, having ceased trading.

⁵ Our Power was expelled from the Code following revocation of their Licence by Ofgem, having ceased trading.

⁶ Brilliant Energy was expelled from the Code following revocation of their Licence by Ofgem, having ceased trading.

2. Monthly SECAS Highlights

2.1 Change Management Update

- The Change Sub-Committee (CSC) considered the six Draft Proposals raised to date under the new SEC Change framework. Members agreed that the issues raised under five of them are now fully understood and ready to be converted to Modification Proposals, and these are being presented to the Panel at this meeting. We are continuing to work on several new issues submitted to us and expect further Draft Proposals to be raised in the coming weeks.
- We engaged with the Operations Group, the Security Sub-Committee (SSC), the Technical Architecture and Business Architecture Sub-Committee (TABASC) and the Smart Metering Key Infrastructure (SMKI) Policy Management Authority (PMA), informing them of how we intend to obtain their input on Draft Proposals and Modification Proposals going forward. All four Sub-Committees were supportive of our intended approach and provided comments on the Draft Proposals raised to date.
- We held our monthly Working Group meeting on 5 June, with four modifications discussed. We will provide the Panel with a verbal update on how this meeting went at the Panel meeting.
- We are continuing to progress the November 2019 SEC Systems Release. The DCC's Testing Approach Document (TAD) was issued for consultation and discussed with the Testing Advisory Group (TAG) this month, and we remain on course to bring this to the Panel in July.
- We have also been preparing the combined redlining to the Technical Specifications and related documents for the November 2019 SEC Release. We are intending to publish the draft versions of these in the week commencing 10 June. Following the Change Board vote on [SECMP0055 'Incorporation of multiple Issue Resolution Proposals into the SEC'](#), we will then designate the updated versions of Schedules 8-11 into the SEC with an effective date of 7 November 2019 – this is expected to happen on or shortly after 4 July.
- We have been reviewing the potential scope of the June 2020 and November 2020 SEC Releases. We have engaged with the TABASC and the Operations Group and invited comments from Parties. We will be presenting these comments and an update on these releases to the Panel this month.
- We are reviewing the end-to-end SEC Releases process and governance and will be updating the SEC Release Management Policy in line with this. We intend to present the policy to the Panel following agreement of an enduring approach to reporting full DCC implementation costs, as this will need to be captured in the policy. We will also be incorporating lessons learnt from the November 2019 SEC Release.
- The Change Board voted for the first time on whether to approve requests for DCC Impact Assessments, a responsibility allocated to them under [SECMP0049 'Section D Review: Amendments to the Modification Process'](#).
- The Refinement Consultation for [SECMP0007 'Firmware updates to IHDs and PPMIDs'](#) has now been issued and will close on 17 June. Subject to the comments we receive, we then expect to issue the DCC Impact Assessment request. This will be the final step in the Refinement Process for this modification before the Modification Report can be presented to the Panel.

- Our Modcasts provide regular updates on developments with SEC modifications, and continue to prove useful for listeners. We welcome feedback from listeners on these on an ongoing basis, to ensure we are delivering the information and updates they want.

2.2 Technical Support Update

- Central Products List (CPL) highlights include:
 - created six new CPL versions in May, which involved adding six new entries and removing 3 existing entries on the CPL.
 - continuing to assess the business case of a CPL database or potential enhancement to the current process prior to the TABASC consideration.
 - investigating an appropriate format to be mandated, in order to verify the authenticity of a Supplier/DCC, following an SSC action.
 - preparing updates to the CPL – New Entry form in advance of SMETS1 Device Models being added to the CPL, including undertaking tests with the DCC systems.
- We are updating the SMETS1 Services Release Business Architecture Document (BAD) and Technical Architecture Document (TAD) following the industry review.
- We are facilitating the TABASC's review of the future SEC Releases, Draft Proposals and Modification Proposals and the potential impacts on the Technical and Business Architecture.
- We supported the TAG during the review of the SMETS1 Initial Operating Capability (IOC) System Integration Testing (SIT) Completion Reports. The TAG has also reviewed aspects such as progress on Release 2 SIT Completion, preparation for Middle Operating Capability, Systems Capacity Testing and Migration Testing.
- Following a request from BEIS to provide support to the IOC go-live decision-making process, we have developed a draft schedule for the Sub-Committees and communicated the approach and meeting schedule to support go live.
- A further workshop was held between the DCC and SECAS to review issues that require DCC actions to resolve. Recommendations for next steps will be shared with the Ops Group.
- Following revision of dates and scope of the SMETS1 IOC, we have communicated revised meeting dates for review of the draft and final versions of the Live Service Criteria (LSC) evidence from the DCC to the Ops Group.
- We attended the BEIS Implementation Managers Forum (IMF) where a number of issues were discussed that cross over with the Ops Group, such as numbers of Incidents and resolution. It was agreed that detailed investigation will continue under the Ops Group and IMF will monitor high level trends.

2.3 Security, Privacy & SMKI PMA Updates

- We hosted one SMKI PMA and three SSC meetings this month, in addition to a supplementary SSC meeting for Members to discuss the DCC Competent Independent Organisation (CIO) Assessment report review in preparation for Enrolment and Adoption.
- Overview of User Assessment Activity this month:
 - 7 Fieldwork Assessments completed;

- 1 First stage Validation Full User Security Assessments (FUSAs) completed;
 - 4 First stage Verification User Security Assessments (VUSAs) completed;
 - 2 Assurance status' set (FUSAs);
 - 2 Director's Letters approved;
 - 5 Compliance Status' set (VUSAs & Security Self-Assessments);
 - 7 Assessments prepared for SSC review; and
 - 65 Parties currently being assessed.
- We facilitated an Engagement Workshop with the Independent Privacy Auditor (IPA) and a SEC Party regarding consent criteria and the Privacy Assessment process.
 - SEC Parties were notified of the decision to remove several firmware versions from the CPL due to expired Commercial Product Assurance (CPA) Certificates which we processed on 31 May 2019, marking the first occasion for such an event.
 - We have successfully completed the final testing phase for Egress 2-factor authentication (2FA). A guidance document has been issued to users in preparation for 2FA release in early June.
 - We issued a SEC Party Survey last month, closing on 31 May 2019, with over 40 Parties providing their feedback and views regarding User roles and access to the DCC Systems. We have collated the results which we will be presenting to the Panel to review at the June meeting.

2.4 Party Support Update

- The team is preparing for the annual SEC Panel Engagement Day on 11 July. 'Save the date' invitations have been sent and we have already taken a number of bookings. Party Support are working with the wider SECAS team and has liaised with DCC and BEIS contributions to the agenda, as well identifying topical SEC updates to be presented. An interactive tool called Slido is being investigated for use on the day.
- In preparation for the Annual General Meeting (AGM), the team has reviewed the Shareholder list to ensure that the list remains accurate and that all those eligible are invited.
- We have been obtaining consent from SEC Parties to pass details to the external research agency conducting the Code Administrators Survey. A range of Parties of different sizes and Party Categories have consented.
- The team continued discussions with the DCC regarding closer co-ordination of information regarding DCC Live User status.
- We have continued to process ongoing Events of Default (EoD) with one Party entering a further Default in May in addition to its Default in April. Work also continues with regard to Supplier of Last Resort (SoLR) processes, and a further workshop took place in the first week of June.
- Work on the Website Enhancement project is ongoing to make the website more user-friendly. The first update is due to be launched within the first two weeks of June. Analysis of website usage using Google Analytics has begun, which will compare readership before and

after changes. Changes will be staged over the next few months, with the first changes to be implemented this month.

2.5 Code Administrator Code of Practice (CACoP) Update

- There has been one CACoP meeting via teleconference since the last update. The Forward Work Plan for 2019 was agreed and can be found [here](#).
- Gemserv are finalising the draft of the first CACoP newsletter for review by the other CACoP members.
- SECAS continue to engage with the other members of CACoP over a number of issues, including management of credit cover in Events of Default and SoLR scenarios.
- There will be a CACoP engagement event on 17 July at Elexon's Office in Euston attended by all CACoP members.

3. SECAS Time Devoted by Service Area

The total number of resource days in May 2019 was **594**. The division of effort within the reporting month is shown at Driver level below:

	Driver	Days (rounded)
Services	Committee Support	109
	Security and Privacy	119
	Change Management	141
	Party Support and Engagement	98
	Technical and Operational activities	86
Projects	Smarter Markets	16
	Annual Security Obligations	0
	BAD/TAD	13
	Security Threats	1
	Data Quality	11
	Release Management	0
Grand Total		594

Table 4: Division of Effort by Driver (Days Worked)

4. Helpdesk Activities

The SECAS Helpdesk receives enquiries via email and telephone. There were 24 telephone enquiries and 1,850 email enquiries to the various SECAS mailboxes in May 2019.

The email enquiries received have been grouped into the following categories with the total over the last 12 months shown:

	May 18	Jun 18	Jul 18	Aug 18	Sep 18	Oct 18	Nov 18	Dec 18	Jan-19	Feb-19	Mar-19	Apr-19	May-19
Applications	23	43	6	6	56	43	19	84	59	56	50	28	32
Sub-Committees	208	108	242	312	362	441	167	206	342	298	331	355	304
Consultation Correspondence	0	13	7	0	2	3	4	11	9	2	4	7	11
Contact Info	81	75	46	55	51	36	26	33	28	39	38	29	41
General Queries	40	43	17	54	44	7	56	49	44	41	40	61	48
Panel & Board Correspondence	55	203	146	106	45	46	16	51	48	45	65	46	52
Modifications	369	376	627	514	528	524	576	502	534	411	423	358	280
User CIO Assessments	262	276	284	426	416	346	325	312	475	500	589	578	962
Party/RDP Signifiers	1	6	1	5	0	1	0	0	4	3	2	1	2
Training Days/Seminars	73	1	2	31	43	0	0	34	17	87	33	27	39
Other	93	184	74	81	59	167	130	61	76	89	102	55	79
Total	1205	1328	1452	1590	1606	1614	1319	1343	1,636	1,571	1,677	1,545	1,850

Table 5: SECAS Helpdesk Emails

5. SEC Website Update and Statistics

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

	2018							2019				
	Jun	Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May
Visits ³	6,825	8,370	6,841	6,266	8,592	8,007	6,050	9,285	8,814	8,883	8,359	8,827
Page Views ⁴	20,292	24,496	20,530	18,738	24,152	22,387	17,258	25,662	25,353	47,841	73,175	79,672

Table 6: SEC Website Statistics

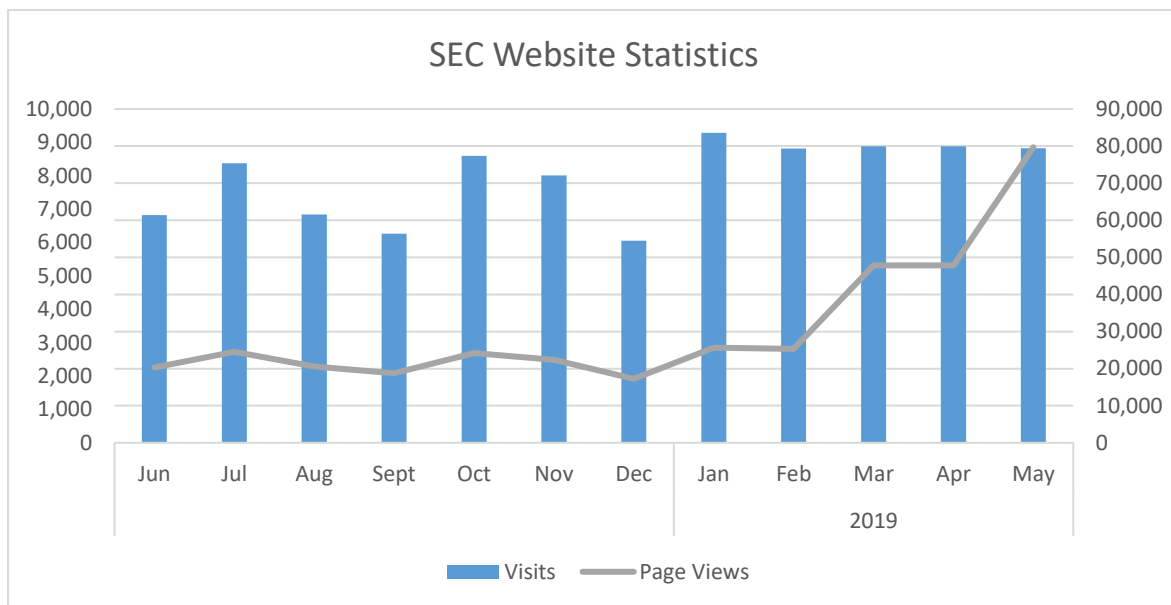


Figure 2: SEC Website Usage

³ A visit is the time a user is actively engaged with our website. All usage data is associated with a visit.

⁴ Page Views is the total number of pages viewed. Repeated views of a single page are counted.

6. SEC Meeting Details

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

Category	Meeting	Meeting Date(s)	Summary of Events
SEC Governance Meetings	SEC Panel	10/05/2019	The Panel's regular monthly meeting. Further information on the proceedings of this meeting is available in the public minutes on the SEC Website .
	SECCo Board	10/05/2019	The SECCo Board's regular monthly meeting. The proceedings and minutes of the SECCo Board are confidential.
	TABASC	16/05/2019	The TABASC's regular monthly meeting. The meeting headlines are now available via the link below. TABASC 42 1605 Meeting Headlines
	SEC Change Board <ul style="list-style-type: none"> SECMP0007⁵ SECMP0056⁶ 	22/05/2019	The Change Board met once, where it deferred making a decision on SECMP0007 and approved SECMP0056.
	Working Group <ul style="list-style-type: none"> SECMP0007 SECMP0024⁷ SECMP0056 	01/05/2019	One Working Group meeting took place in May 2019 to discuss the progression of SECMP0007, SECMP0024 and SECMP0056.
	Security Sub-Committee (SSC)	08/05/2019 21/05/2019 22/05/2019	Three SSC meetings took place in May 2019. The non-confidential meeting headlines for two of the meetings can be found below. SSC 77 0805 Meeting Headlines SSC 78 2205 Meeting Headlines
	SMKI PMA	21/05/2019	The SMKI PMA held one meeting in May 2019. The non-confidential meeting headlines can be found below. SECPMA 57 2105 Meeting Headlines
	Operations Group (OPSG)	07/05/2019	The OPSG continue to meet monthly. The meeting headlines are available via the link below.

⁵ [SECMP0007 'Firmware updates to IHDs and PPMIDs'](#)

⁶ [SECMP0056 'IHD/PPMID Zigbee Attributes Available on the HAN'](#)

⁷ [SECMP0024 'Enduring Approach to Communication Hub Firmware Management'](#)

Category	Meeting	Meeting Date(s)	Summary of Events
			<u>OSPG 20 0705 Meeting Documentation</u>
	Testing Advisory Group (TAG)	29/05/2019	The TAG met once in May 2019. The minutes will be available in June 2019.
	Modifications Question Hour	07/05/2019	Each month SECAS host a teleconference offering SEC Parties the opportunity to ask questions on the modifications due to be presented at the forthcoming Panel meeting.
BEIS	Implementation Managers Forum	30/05/2019	These transitional groups continue to meet on a regular monthly basis. Further information on all transitional meetings is available in the Transitional Governance Update paper, available as part of the monthly SEC Panel paper pack.
	Smart Metering Delivery Group	09/05/2019	
	Technical and Business Design Group	15/05/2019	
DCC	Test Design and Execution Group (TDEG)	14/05/2019	TDEG provided updates on a Communication Hub including detailing of migration to release two Single Band Comms Hubs (SBCH), the process for SBCH from Release 1.x to Release 2.0 and an update on SMETS1 IOC SIT.

Table 7: Meetings hosted and attended by SECAS