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Paper Reference:	SECP_70_1207_16
Action:	For Decision

SEC Panel Sub-Committee Report

1. Purpose

This paper provides the Panel with an update on recent activities from the Panel Sub-Committees. It highlights the key issues discussed and details specific points the Sub-Committees would like to bring to the Panel's attention. The Panel are requested to note the updates and agree to the requested actions outlined in section 2.1.

2. Operations Group

2.1 Operations Group Meeting Highlights

Communications Hubs Returns

The Comms Hubs returns process does not work for DCC Customers. The Quarterly Communication Hub Returns report shows that only a small number of Communication Hubs have been triaged through the process. Over a lengthy period of time and in a number of meetings, Suppliers have raised concerns about the lack of a bulk return process: SEC Section F8.9 appears to require such a process. This shortcoming is inhibiting the return of Communications Hubs, since it is impractical to return significant volumes using the current process. The DCC has yet to provide a coherent response as to when such a bulk return service will be available.

One Large Supplier has a significant volume of Communication Hubs to return (c.8k.) Other Supplier representatives stated that they also have significant volumes to return. There is a risk that there is a significant volume of Communication Hubs in Supplier warehouses that either cannot be installed or have been installed but are believed to have a defect. The current process employed by the DCC, does not facilitate the return of these Communication Hubs. Therefore there is a growing volume and potential cost building that is not being addressed.

The Ops Group have asked the DCC to immediately engage with its Customers.

The OPSG asks that the Panel:

1. Ask the DCC to urgently host a workshop with its Customers to identify immediate improvements.
2. Urge the DCC to urgently develop a Communications Hub bulk returns process.

Planned Maintenance

The DCC provided an update on the Planned Maintenance Trial utilising a risk-based approach. The DCC advised that the Forward Schedule of change is being populated and that currently 283 changes

are listed on it. The DCC reported that, in their view, the trial was going well and delivering changes successfully, and the success rate is improving month on month. Ops Group members reported that they had experienced some “teething troubles” but they viewed the trial, new approach and methodology deployed by the DCC as successful.

Data Quality Issues Sub-Group (DQISG).

The Data Quality Issues Sub-Group provided an update on progress with the issue identified from the SEC Panel Request For Information. A separate paper [SECCoB_70_1207_04] provides the SECCo Board with further detail regarding budget and recommendations for the future steps of the DQISG.

CSP Briefing

A CSP briefed the Ops Group on recent service failures and the rectification actions that are underway. The Ops Group said that, after many months of live operation, the failure to provide a stable service was unacceptable.

Ecosystem Management Framework

The DCC presented their proposal. The Ops Group noted the pilot that is underway and the envisaged benefits. The Ops Group expressed concerns about the scope of the full project, the challenges it might present, its impacts and costs. No indicative cost/benefit analysis has yet been produced. The Ops Group pointed out that the DCC were making this new initiative at the same time as existing service requirements such as the Order Management System and the Comms Hub Returns Process were not being satisfactorily delivered.

Performance Measures

(Detailed in SECP_70_1207_17)

The Ops Group again expressed concerns about Code Performance Measure CPM1 which has been below target for 5 consecutive months: no explanation for this shortfall or rectification plan has been produced by DCC. This metric relates to OTA firmware updates. The DCC have advised that this below target performance will not impact the imminent activity to upgrade to Release 2.0. The OPSG have sought further assurance that this is the case.

3. Security Sub-Committee and SMKI PMA

3.1 Assurance Status Decisions

The Security Sub-Committee (SSC) set two Assurance status’ in June 2019. Details can be found in confidential Appendix A.

3.2 Verification Assessments

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

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

3.3 Director Letters

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

3.4 Security Self-Assessments

Two Security Self-Assessments were reviewed by the SSC in June 2019.

3.5 SSC Highlights

SMETS1 Appropriate Standards

The SSC approved the publication of the Security Controls Framework (SCF) Part 2 (Version 1.17), which has been amended to clarify what the User CIO would be looking for in a User Security Assessment.

CPA Security Characteristics v1.3

The SSC approved the CPA Security Characteristics v1.3 and approved the implementation timescale of three months to enable the SC v1.3 to be a mandatory requirement for any Combined Business Questionnaires (CBQs) accepted by NCSC, on or after, Thursday 26 September 2019; and also approved the publication of the SSC decisions above to the SEC Website on Thursday 27 June 2019.

SMETS1 Live Services Criteria

The SSC were provided with an update, seeking comments from the initial Risk Assessment that was raised at the previous SSC meeting on Wednesday 12 June 2019, which outlined the status of controls for Initial Operating Capability (IOC), and the design differences between CIO audits and the Residual Risks. The SSC highlighted the findings within the Security Traceability Matrix, noting that DCC Security have assessed whether each SMETS1 IOC Service Provider (SP) has implemented mandated security controls. The DCC assessed whether an appropriate and proportionate level of security testing of the controls have been completed successfully. The DCC also provided an update in relation to the Competent Independent Organisation (CIO) report in the subsequent Management Response.

Standards Guidance

The SSC were presented with a paper which was produced in order to provide a guideline on vulnerability disclosure and handling, based on ISO/IEC 29147:2018 and ISO/IEC (DIS) 30111:2018. This was in response to SSC's recommendation for a guidance document to be created based on updated versions of ISO/IEC 29147:2014 and ISO/IEC 30111:2013, to address the need for structured reporting, disclosure and handling of Material Security Vulnerabilities (MSVs).

SOC2 Report

The DCC confirmed the SOC2 Final Report has been reviewed to specifically map and analyse the findings. The SSC were presented with a further update in relation to the SOC2 Auditor which took place in 2018/19, along with the Post-Audit Remediation Progress and Material Findings and Conclusions.

3.6 SMKI PMA Highlights

SEC Modification Proposals

SECAS representatives presented the SMKI PMA with an update on [DP077 'DCC Service Flagging'](#), which was raised on 7 June 2019 and is currently in the Development Stage. This proposal will be reviewed at the next Change Sub-Committee meeting on 25 June 2019. The SMKI PMA noted that the SEC Panel approved the Modification Reports for [DP073 'Alteration of SMKI Repository information and documentation'](#) and [DP074 'Clarity on Obtaining SMKI Device Certificates'](#) on Friday 14 June 2019.

SMKI Recovery for SMETS1

The SMKI PMA were presented with an update in relation to a previous action raised for SMKI PMA Members to review the amendments to the Recovery Procedures in Appendix L. The SMKI PMA walked through the proposed changes originally raised during a meeting on 3 June 2019 between the SMKI PMA Chair, BEIS and DCC Representatives.

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

4.1 TABASC Highlights

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

The final versions of the SMETS1 Services Release BAD and TAD were published 21 June 2019.

New Issue Resolution Proposal (IRP) Draft Proposal

SECAS provided the TABASC with the planned new Draft Proposal that is being prepared to batch up and progress the remaining IRPs handed over to SECAS for implementation. The TABASC agreed the initial list of IRPs for this proposed modification, subject to separating out the list based on whether it is DCC System impacting or not.

CPL Application Options Appraisal

SECAS presented options to enhance the CPL technical architecture to improve usability, streamline management and maintenance, and provide a secure, robust platform.

The TABASC agreed to recommend to the SECCo Board that Option 2, the Enhance Current Central Products List (CPL) Product option, is considered the most suitable and cost-effective option.

DCC related activities:

- The DCC presented on the DSP re-procurement activities, highlighting the key challenges and proposals whilst requesting the TABASC engagement in considering the options.
- The DCC highlighted the benefits on Ecosystems Management Framework (EMF) orchestration and provided an update on EMF Device Assurance options for firmware management.

- The DCC provided an update on the T3 aerials, noting that five options had been prioritised for further investigation. The benefits of each option will be provided at the July meeting.
- The DCC noted that the Production Proving Function is planned for implementation in Q4, highlighting that the business case and delivery plan are subject to relatively detailed discussions with BEIS.
- The DCC provided an update on the LTE Communications Hubs project, noting that the Request for Proposal is due out in September 2019.

4.2 TAG Highlights

SMETS1

TAG's involvement in the decision-making process for the first SMETS1 entry onto the Eligible Products Combination List (EPCL) is underway. The TAG will join a DCC internal governance meeting on 5 July for the completion of migration testing – the intention is to facilitate the TAG's decision a week later. Extra TAG meetings have been scheduled for 5 July and 12 July to support the decision-making.

Engagement between the TAG and Operations Group chairs, DCC & BEIS to agree the process and content of the Live Services Criteria submission has continued.

November 19 Release

The DCC provided to TAG an updated November 19 Release Testing Approach Document, following consultation. The TAG reviewed this in June and has continuing concerns about the ability to deliver all changes currently scheduled in late 2019, i.e. November 19, MOC and FOC. The concerns focus on availability of environments that will accurately reflect the code base that goes live for each release, and the industry's ability to participate in user testing for each release.

The DCC will present to TAG the environment and code management plan for November 2019 on 5 July, which feeds into a separate paper from TAG to the Panel.

5. Recommendations

The Panel is requested to:

- **NOTE** the content of this paper; and
- **AGREE** to request the DCC to urgently host a workshop with its Customers to identify immediate improvements.
- **AGREE** to urge the DCC to urgently develop a Communications Hub bulk returns process.

Rebecca Jones

SECAS Team

5 July 2019

Attachments:

- Appendix A: User Security Assessments – Identified Non-Compliances (**RED**)

SECP_70_1207_16 – SEC Panel Sub-Committee Report

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