SEC
Smart Energy Code

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Paper Reference:	**TABASC_44_1807_04**
Action:	**For Decision**

TABASC Effectiveness Review Update

1. Purpose

On direction from the SEC Panel and in accordance with SEC Sections F1.4 (e), (f) and (g), the Technical Architecture and Business Architecture Sub-Committee (TABASC) is required to review the effectiveness of the End-to-End Technical Architecture, Business Architecture and the Home Area Network (HAN) requirements. The Effectiveness Review questionnaire has been developed to fulfil the requirements.

The TABASC is requested to agree the proposed:

- revised Effectiveness Review questionnaire format;
- Communication Plan; and
- Briefing Pack.

2. Background

The first questionnaire was issued in April 2018, followed by the second issued in September 2018. No further investigation was deemed necessary following either survey.

At the May 2019 TABASC meeting, it was agreed that the third iteration of the questionnaire be issued in September 2019, as installed meter volumes increase, and focus starts to move from installations to 'business as usual'.

3. Revised questionnaire format

A new simplified format, as set out in Appendix A, is proposed with the aim to receive a higher volume of responses than previous iterations. The previous iterations included approximately 80 questions. These questions have been retained; however, simplified into 7 more manageable sections to encourage responses.

As per previous iterations, the Survey Monkey platform will be used.

4. Communication Plan and Timetable

The questionnaire is proposed to be issued on 9 September 2019 with responses due back on 7 October 2019. The communication plan to support the issuing of the questionnaire is set out in Appendix B. This outlines the key stakeholders SECAS will engage with and when.

5. Briefing Pack

Appendix C sets out the Briefing Pack slides and provides SEC Parties with an overview of the questionnaire and outlined approach. The Briefing Pack will be included with the questionnaire when issued.

6. Recommendations

The TABASC is requested to:

- **AGREE** the revised format of the Effectiveness Review Questionnaire – Third Iteration, set out in Appendix A;
- **AGREE** the proposed Communication Plan and Timetable set out in Appendix B; and
- **AGREE** the Briefing Pack set out in Appendix C.

Kayla Reinhart

SECAS Team

11 July 2019

Appendix B – Communications Plan and Timetable

Stakeholder	Key Contact(s)	Method of engagement	Date of planned advanced engagement (2019)	Area of interest	Purpose of communication
SEC Parties	Registered SEC Newsletter recipients	First SECAS Newsletter article Second SECAS Newsletter article	5 September 19 September	Potential to become DCC Users or supporting DCC Users	Awareness for SEC Parties to co-ordinate a single reflective response to the questionnaire per organisation within the deadline.
	SEC Website readers	Latest news article	9 September		
	SEC Parties	Spotlight on the SEC	12 September (tentative)		
	Lead SEC Party contact	Email questionnaire to all SEC Parties	9 September		
Ofgem	TABASC Ofgem Representative	Advance awareness email	2 September	Regulation	Awareness. SEC Section F1.4 (g) also requires the TABASC to report to Ofgem on the effectiveness of HAN Requirements.
BEIS	BEIS Smart Metering Implementation Programme Director	Advance awareness email	2 September	Policy & Transitional Governance	Awareness, support and co-ordination with other initiatives, including BEIS Communications Team / Press Office and shared 'Lines to Take', if needed.
SMDG	SMDG Chair	Advance awareness email	2 September	Transitional Governance	Awareness, support and co-ordination with other initiatives.

SMOG	SMOG Chair	Advance awareness email	2 September	Transitional Governance	Awareness, support and co-ordination with other initiatives.
TBDG	BEIS TBDG Chair TBDG	Advance awareness email Presentation	7 August 14 August	Transitional Governance	Awareness, support and links to IRPs and CRPs.
Smart Energy GB	Smart Energy GB representative	Advance awareness email	2 September	Communications with Press, if needed	Awareness, support and co-ordination with other initiatives, including any Press contact and shared 'Lines to Take' and to enable consumer issues to be linked to issues observed by industry.
SEC Panel	SEC Panel Chair SEC Panel	Advance awareness email Presentation	2 September 13 September	SEC Responsibilities	Awareness. SEC Section F1.4 (e), (f) and (g) also requires the TABASC to report to the Panel on the effectiveness of the technical and business architectures and HAN Requirements.
SSC	SSC Chair SSC	Advance awareness email Presentation	2 September 11 September	Security issues	Awareness that security issues may be reported.
SMKI PMA	SMKI PMA Chair SMKI PMA	Advance awareness email Presentation	2 September 17 September	Cryptography issues	Awareness that issues relating to SMKI, DCCKI and / or IKI may be reported.
OPSG	OPSG Chair OPSG	Advance awareness email Presentation	2 September 3 September	Operational issues	Awareness that specific operational issues relating to the service may be reported, as well as Service User's overall view of how the service is being delivered.
DCC	Director Service Management - Operations	Advance awareness email	2 September	Responsible for DCC Total System	Awareness, support and the need for liaison and follow-up on any issues raised.

TABASC Effectiveness Review Briefing Pack – third iteration

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The TABASC Effectiveness Review – The Who, What, When, Where and Why?

- **Who?**
  - The review focuses on operational DCC Users or those undergoing the User Entry Process
- **What?**
  - A confidential questionnaire will be issued to SEC Parties and DCC Users
  - One return is requested per organisation covering technical and operational aspects
  - Results will be shared with the SEC Panel and Sub-committees
- **When?**
  - The questionnaire will be issued in September 2019 with 1 month to respond
- **Where?**
  - The questionnaire will be an online survey, however it will also be available for printing for use internally before providing a single response online
- **Why?**
  - The TABASC is required by the Panel to review the effectiveness of the Technical Architecture, Business Architecture and the HAN requirements
  - The survey findings will help identify areas in the current service where attention may be required

Background: SEC Section F1.4 obliges TABASC to undertake three reviews

SEC Section F1.4 sets out the requirements that:

The Technical Architecture and Business Architecture Sub-Committee shall undertake the following duties on behalf of the Panel:

> *(e) to review (where directed to do so by the Panel) the effectiveness of the End-to-End Technical Architecture (including so as to evaluate whether the Technical Code Specifications continue to meet the SEC Objectives), and report to the Panel on the outcome of such review (such report to include any recommendations for action that the Technical Architecture and Business Architecture Sub-Committee considers appropriate).*
>
> *(f) to review (where directed to do so by the Panel) the effectiveness of the Business Architecture (including their assessment against the SEC Objectives), in consultation with Parties and Competent Authorities (but without engaging directly with Energy Consumers), and report to the Panel on the outcome of such review (such report to include any recommendations for action that the Technical Architecture and Business Architecture Sub-Committee considers appropriate);*
>
> *(g) to review (where directed to do so by the Panel) the effectiveness of the HAN Requirements (including their assessment against the SEC Objectives), in consultation with Parties and Competent Authorities (but without engaging directly with Energy Consumers), and report to the Authority and the Panel on the outcome of such review;*

The SEC Panel meeting on 12 August 2016 approved the Panel directions for TABASC to undertake the three reviews described in F1.4 (e), (f) and (g).

The review focuses on the following areas

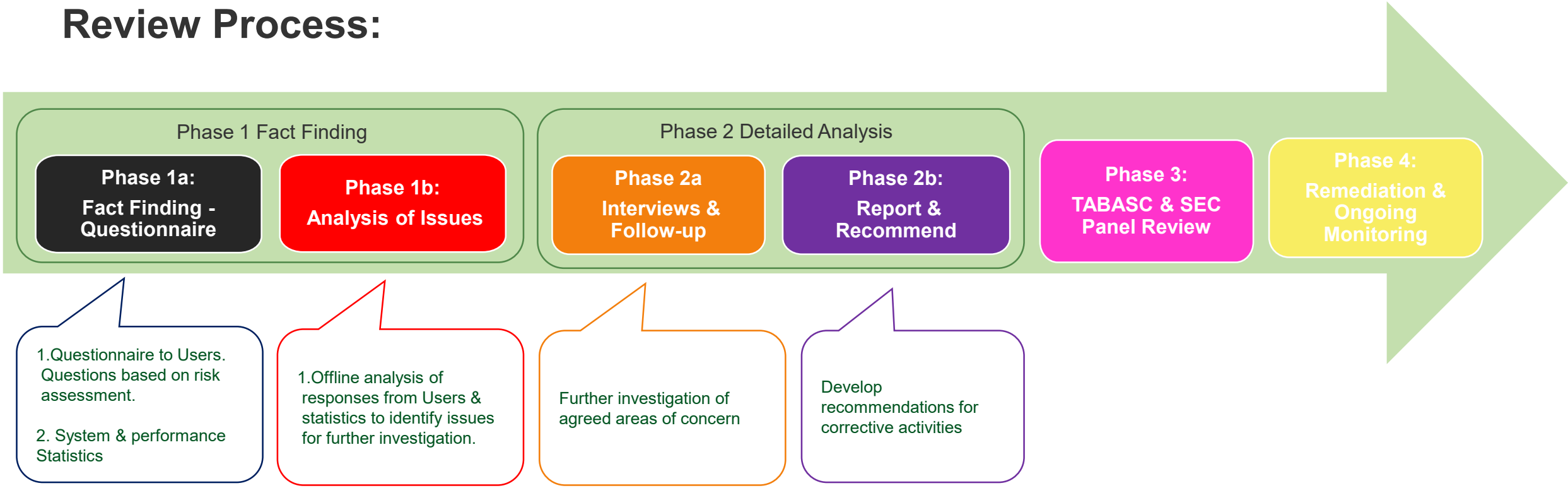
Review Area	Example Challenges
DCC Connectivity & Functionality	• Connectivity problems • Poor system response
HAN & Device Performance	• HAN coverage issues • Device behaviour issues
Firmware Issues	• Firmware update problems • Device firmware issues
System Performance	• Installation challenges • Commissioning challenges
Business Process Issues	• Key business processes failing • Processes impacting consumer experience
PKI	• IKI, SMKI or DCCKI issues
Other Issues	• Any other comments

A Phased Approach to the review

The process uses a Survey Monkey questionnaire to focus on the areas identified in the risk assessment and identify any areas requiring further investigation.

The responses are analysed in-house by SECAS prior to reporting to TABASC and the SEC Panel.

Review Process:



An Iterative Questionnaire

The questionnaire has been simplified since the previous iteration to make it easier to complete and encourage participation.

The TABASC believe there is value in conducting regular surveys to identify emerging problems, therefore the third iteration of the questionnaire is being issued in September 2019 as installed meter volumes increase and focus starts to move from installations to “business as usual”.

Current Timetable

Post R1.3/R1.4 Live (end July 2017)	Sufficient initial installed volumes	**1.5 million Meters (est. July 2019)**	Phases 2/3/4
Phase 1a/b/2a Iteration 1	Phase 1a/b/2a Iteration 2	**Phase 1a/b/2a Iteration 3**	Phase 2b/3/4
Questionnaire to All Users - April 2018	Questionnaire to All Users - September 2018	**Questionnaire to All Users – September 2019**	Reports to TABASC and SEC Panel after each iteration. Final report expected February 2019

Note: Depending on responses to the questionnaires, the TABASC may recommend that the Panel formally request the OPSG Data Quality Issue Sub-Group to conduct a more in-depth analysis of the issue.

Example Question

Section 5: Business processes

How satisfied are you with the current business processes? 1 = Very Dissatisfied; 10 = Very Satisfied.	

Have your business operations been adversely affected by the smart metering business processes? If so, please answer the questions in this section,
An impact score of 1 = Low, 2 = Medium and 3 = High.
Leave blank if the issue did not affect your organisation.

Did the problem arise from	Impact
Installations being delayed due to a technical issue(s) in the **DCC Systems** affecting business processes	
Installations being delayed due to a technical issue(s) in **User Systems** affecting business processes	
Business as Usual (BAU) operational processes taking longer or needing more resources due to technical issues	
Specific business processes not performing as planned (e.g. Change of Supplier)	
Submission of Threshold Anomaly Detection values	
The release of quarantined messages	
The processes affecting the consumer experience (e.g. requiring consumer contact or manual processing to complete readings, billings and changes of circumstances)	
Service Requests not supporting the User obligations	
The technical architecture not being capable of supporting smart home services	
Any other causes	

Please describe the nature and extent of the problem(s).

Have you identified any areas related to business processes for improvement? If so, please specify below and indicate how it is being progressed

Thank you

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bsi. ISO/IEC 27001 Information Security Management

GlobalGROUP ISO 14001 UKAS MANAGEMENT SYSTEMS 0039

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LLOYD'S REGISTER LRQA ISO 9001 UKAS MANAGEMENT SYSTEMS 001

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