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Paper Reference:	**SECP_72_1309_23**
Action:	**For Information**

Operations Report – August 2019

1. 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 August 2019.

2. Recommendation

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

Holly Burton

SECAS Team

6 September 2019

Attachments:

- **Appendix A:** DCC Testing Notifications – UEPT, SREPT and SMETS1 Eligibility Testing (**AMBER**)

3. 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.

3.1 Accessions

There were no Accessions completed in August.

3.2 Events of Default

There are four SEC Parties currently in Default. Further information can be found in Confidential Panel paper SECP_72_1309_07 (Current Events of Default).

3.3 Market Exit

One SEC Party ceased trading in August, however pending the outcome of SECP_72_1309_07, remains a SEC Party.

3.4 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 Parties have completed the UEP:

SEC Party	Party Category	DCC User role(s)	Date of UEP completion
Green Energy (UK) Limited	**Small Supplier**	**Export Supplier Import Supplier Gas Supplier**	**16/08/2019**
Orbit Energy Limited	**Small Supplier**	**Export Supplier Import Supplier Gas Supplier**	**23/08/2019**

3.5 Testing Update

SMKI and Repository Entry Process Testing (SREPT)

There were three notifications of SREPT completion since the last SEC Panel meeting. Further details can be found in Confidential Appendix A.

Completion of the User Entry Process Testing (UEPT)

Since the last SEC Panel meeting, SECAS has been informed of one SEC Party having successfully completed UEPT. Further details can be found in Confidential Appendix A.

Completion of SMETS1 Eligibility Testing

Since the last SEC Panel meeting, SECAS has been informed of 14 SEC Parties having successfully completed SMETS1 Eligibility Testing. Further details can be found in Confidential Appendix A.

3.6 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.

	Oct 18	Nov 18	Dec 18	Jan 19	Feb 19	Mar 19	Apr 19	May 19	Jun 19	Jul 19	Aug 19
Accessions	2	2	3	3	10	3	3	1	0	0	2
In Default	4	4	5	4	6	5	4	4	4	6	4
Withdrawals	0	0	0	0	0	0	0	0	0	0	0
Expulsions	0	1[1]	3[2][3]	1[4]	1[5]	1[6]	0	0	0	1[7]	0

Table 3: SEC Party Statistics

At the end of the reporting month, there were 334 Parties to the SEC representing 262 Voting Groups, including the 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.
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.
[7] Sunflower Energy Supply Limited was expelled from the Code following revocation of their Licence by Ofgem, having been inactive for over a year.

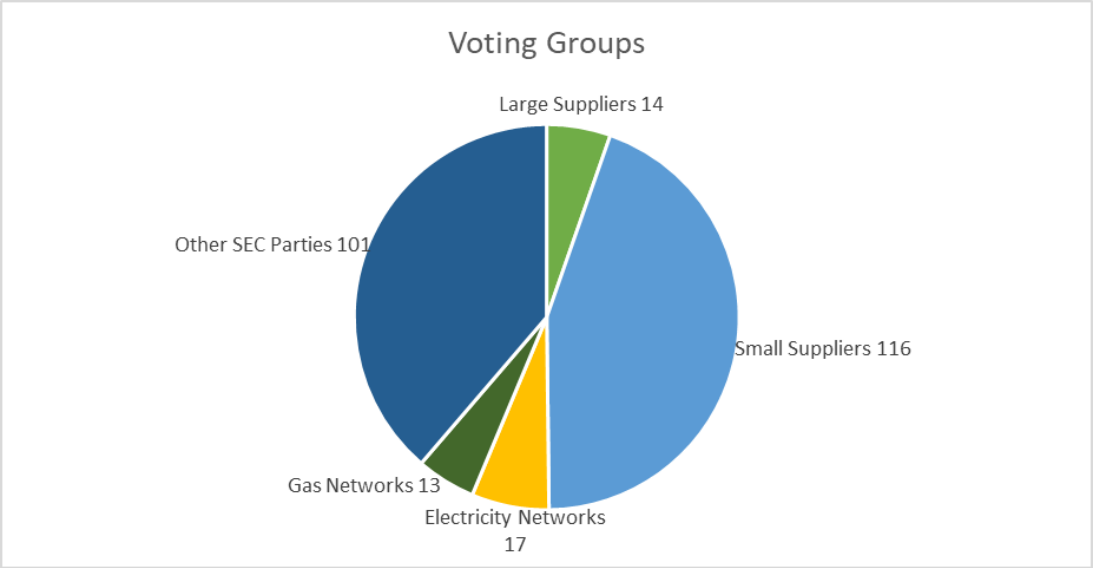

Figure 1: Breakdown of SEC Party Voting Groups (excluding DCC)

4. Monthly SECAS Highlights

4.1 Change Management Update

- We have been working with the DCC to understand the potential modifications that could be included in the June 2020 and November 2020 SEC Releases. We will be providing an update to the Panel this month, before consulting with the TABASC and the Operations Group.
- Responses to the consultation on the SEC Release Management Policy were generally supportive of the changes. We will be asking the Panel to approve the updated policy at this month's meeting.
- We have received positive feedback from Large Suppliers on the Development Stage and the involvement of the Change Sub-Committee in helping to assess new proposals at an early stage.
- We have been considering how the structure and management of the SEC can be improved. We presented our initial thoughts in July 2019, where the Panel were supportive of this review. We will be presenting a project proposal this month in order to take this work forward.
- Our Modcasts continue to prove popular, with recent weekly updates attracting over 100 downloads each. We have been reviewing how to further enhance these and are currently trialling a new format for these updates. We welcome any feedback on our changes. We have also released special episodes on specific modifications in the past, and invite any thoughts on other modifications that Parties would like a spotlight on.
- We continue to build our relationship with the DCC's In-Life Change team. We held a joint workshop to review and confirm the interaction points between SECAS and the DCC under the modifications framework.

4.2 Technical Support Update

The below table sets out the SEC product lists in which the Panel is obligated to establish and maintain and/or the publish on the Website.

List name	SEC Obligation	Update
Central Products List	**SEC Section F2.1** The Panel shall establish and maintain a list (the "**Central Products List**")	Eight new CPL versions were created in August, which involved: • Adding 12 new entries • Removing 13 existing entries The CPL Enhancement Project planning and requirement activities have commenced and will be reported and monitored via the TABASC. The investigation of the potential alternatives for signing CPL submission forms, in order to verify the authenticity of a Supplier/DCC, is ongoing.
SMETS1 Pending Product Combinations List (PPCL)	**SEC Section F2.10A (b)** The DCC shall create, keep up-to-date and provide to the Panel (and the Panel shall publish on the Website) lists of the "**SMETS1 Pending Product Combinations**".	No new version has been provided by the DCC since the initial version of the SMETS1 PPCL.
SMETS1 Eligible Product Combinations List (EPCL)	**SEC Section F2.10A (a)** The DCC shall create, keep up-to-date and provide to the Panel (and the Panel shall publish on the Website) lists of the "**SMETS1 Eligible Product Combinations**".	No new version has been provided by the DCC since the initial version of the SMETS1 EPCL.
Deployed Products List (DPL)	**SEC Section F2.10** The DCC shall create, keep reasonably up-to-date and provide to the Panel (and the Panel shall publish on the Website) a list of the "**Deployed Products List**"	Seven new DPL versions were published in August.

- We will issue the third iteration of the TABASC Effectiveness Review questionnaire on 9 September 2019, to obtain feedback from SEC Parties and DCC Users about specific aspects of live operations affecting the User experience with the End-to-End processes, including those managed and provided by the DCC.
- We are continuing to update the Business Architecture Model (BAM) with SMETS1 Services Release, with the model to be published by the end of September 2019.
- Work has commenced on the TABASC agreed Central Products List (CPL) Enhancement Project, which includes the planning and requirement activities.

- We supported the TAG during the review of the SMETS1 Initial Operating Capability (IOC) Migration Testing Depth, Breadth and Regression Document. The TAG also reviewed the Status of the Systems Integration Testing (SIT) entry criteria for SMETS1 Middle Operating Capacity (MOC), along with proposals for SIT for the November 2019 SEC Release. Document changes and the associated governance steps which must be completed were agreed.
- We attended the BEIS Implementation Managers Forum (IMF).
- We have done further work with the DCC to define the monthly dashboard report requested by the Smart Metering Delivery Group (SMDG).
- We held a workshop on 7 August to obtain Users' views on improvement to Performance Measurement reporting. We have completed further work on preparation of a plan and project brief for improvements to Operational Reporting.
- We have scheduled the first of additional Monthly OPSG meetings to review the delegated Panel reports. The meeting will be held on 23 September.

4.3 Security, Privacy & SMKI PMA Updates

- We hosted one SMKI PMA and two SSC meetings this month.
- An overview of user assessment activity is provided below:
    - 4 Fieldwork Assessments completed;
    - 3 First stage validations of Verification User Security Assessments (VUSAs) completed;
    - 1 Assurance status set (FUSA);
    - 2 VUSA Director's Letters approved;
    - 7 Assessments prepared for SSC review; and
    - 70 Parties currently being assessed.
- We facilitated two User CIO Engagement sessions in August.
- We published v1.9 of the Agreed Interpretations document on 30 August 2019, containing a new section 13 to clarify equivalence between SEC security obligations and the Network Information System (NIS) and Cyber Assessment Framework (CAF) Principles and Indicators of Good Practice (IGP) to avoid duplication of assurance.
- We also published v1.18 of the Security Controls Framework (SCF) on 30 August 2019, to clarify equivalence between SEC security obligations and the NIS Directive Principles and Indicators of Good Practice for Operators of Essential Services (OES).
- In addition to the V1.18 SCF publication, we provided clarification around an issue that has been generating a large amount of Supplier interest regarding SEC Obligations G3.17 - G3.20. These require Suppliers to have an agreement in place with their Meter Asset Provider (MAP), containing a clause for two-way notifications of vulnerabilities ('Duty to Notify'). Some Suppliers have been experiencing difficulties in resolving the commercial elements of their contract negotiations which has been delaying a contract being put in place and therefore impacting their Security Assessment completion. The SSC agreed that a signed Letter of Intent or Memorandum of Understanding is acceptable for G3.17 - G3.20 compliance, which

will adequately address the issue for their Security Assessment and allow more time to complete their commercial negotiations.

4.4 Party Support Update

- We received a great response from attendees at the SEC Engagement Day in July, and we have been working to compile responses to the Slido questions that were not possible to answer on the day due to time constraints.
- Party Support filmed the presentations for the first time at the Engagement Day and have uploaded these to the SEC website for SEC Parties to view. We hope that this will ensure our events are made available to a wider audience, especially to those who do not have the resource to attend events in London.
- We have been preparing for the next engagement event - the Spotlight on the SEC on 12 September. We have secured a diverse range of internal and external speakers and have issued the agenda to SEC Parties with an invitation to the event.
- We processed a further Event of Default. This was by a Party that has been in Default since April and has since ceased trading. Customers have been transferred to a new Supplier through the Supplier of Last Resort (SoLR) process.
- A further workshop took place on Thursday 29 August to continue with SoLR work. Technical colleagues in SECAS and external partners are involved in the work, aiming to refine the SoLR process and ensure any risk of prepay customers losing supply during the process is mitigated.
- Along with other teams in SECAS we have been formatting and tagging a digitalised version of the Smart Energy Code. It will go live in September for SEC Parties to register and use.
- We continue to process Accession and User Entry Process evidence and are having regular conversations with the DCC, Ofgem and BEIS on progress of Supplier Parties in becoming live DCC users.

4.5 Code Administrator Code of Practice (CACoP) Update

- At the August CACoP Forum meeting, we reviewed the feedback received from the Engagement Day and began identifying work packages to progress in response to these. We will be reviewing the plan at the September meeting, after which we will update the industry on next steps.
- A proposal for a central CACoP website was put forward at the Engagement Day. At the Forum meeting, we agreed to seek the views of the Code Panels on this initiative before taking it further. We will be seeking the SEC Panel's thoughts at this month's Panel meeting.
- We continue to engage with the other CACoP members over a number of cross-cutting issues, including management of credit cover in Events of Default.

5. SECAS Time Devoted by Service Area

The total number of resource days in August 2019 was **554.** The division of effort within the reporting month is shown at Driver level below:

	Driver	Days (rounded)
Services	Committee Support	108
	Security and Privacy	126
	Change Management	128
	Party Support and Engagement	59
	Technical and Operational activities	103
Projects	Smarter Markets	6
	Annual Security Obligations	0
	BAD/TAD	4
	Security Threats	0
	Data Quality	8
	Release Management	2
	SEC Digitisation	6
	CPL Enhancement	2
	TSIRS Transfer	0
Grand Total		**554**

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

6. Helpdesk Activities

The SECAS Helpdesk receives enquiries via email and telephone. There were 30 telephone enquiries and 1,537 email enquiries to the various SECAS mailboxes in August 2019.

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

	Sep 18	Oct 18	Nov 18	Dec 18	Jan-19	Feb-19	Mar-19	Apri-19	May-19	June-19	July-19	Aug-20
Applications	56	43	19	84	59	56	50	28	32	23	14	6
Sub-Committees	362	441	167	206	342	298	331	355	304	298	127	262
Consultation Correspondence	2	3	4	11	9	2	4	7	11	6	4	2
Contact Info	51	36	26	33	28	39	38	29	41	43	15	40
General Queries	44	7	56	49	44	41	40	61	48	39	37	32
Panel & Board Correspondence	45	46	16	51	48	45	65	46	52	89	27	43
Modifications	528	524	576	502	534	411	423	358	280	291	389	310
User CIO Assessments	416	346	325	312	475	500	589	578	962	955	984	717
Party/RDP Signifiers	0	1	0	0	4	3	2	1	2	2	1	0
Training Days/Seminars	43	0	0	34	17	87	33	27	39	15	137	41
Other	59	167	130	61	76	89	102	55	79	94	144	84
Total	**1,606**	**1,614**	**1,319**	**1,343**	**1,636**	**1,571**	**1,677**	**1,545**	**1,850**	**1,855**	**1,879**	**1,537**

Table 5: SECAS Helpdesk Emails

7. SEC Website Update and Statistics

Below are some key statistics relating to the use of the SEC Website. The first shows overall usage over the last year, the second, a new figure showing the top 5 most visited pages in the last month.

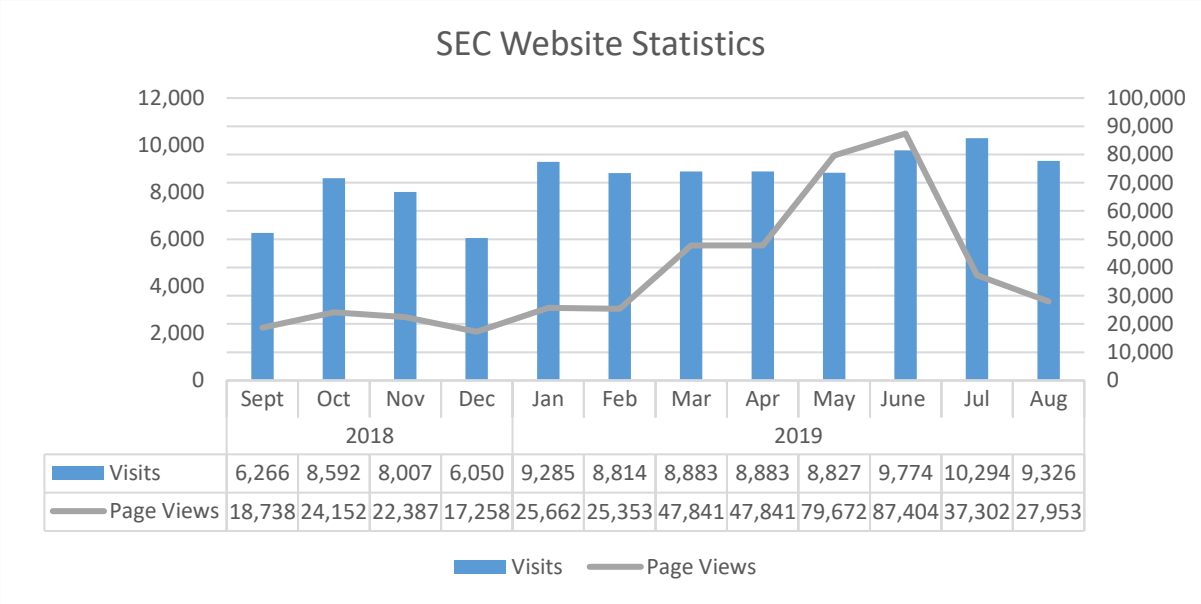

Figure 2: SEC Website Usage

Visits are the number of times that the site is visited. Page views are the total number of pages viewed, which may include multiple views by the same user.

There was a decline in both visits and in pages viewed – in roughly the same proportion, so there has been no change in users' engagement with the site. The decline in website visits is thought to be due to large number of users on holiday - there was also a decline in usage during August 2019.

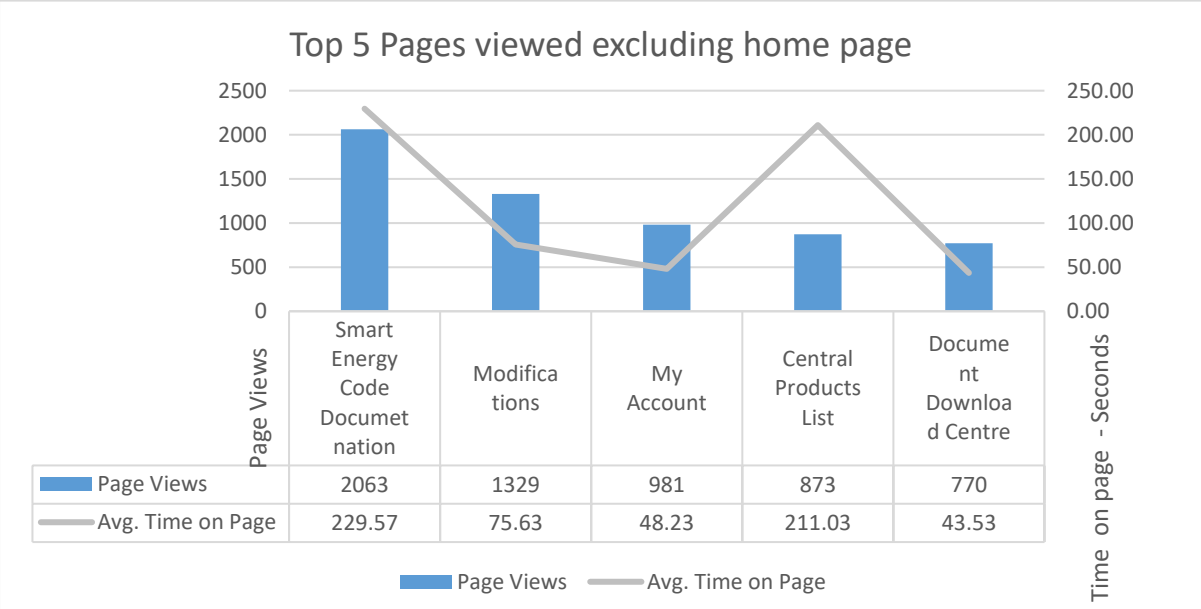

Figure 3: Most visited pages on the SEC Website – excluding home page

Page Views include multiple visits by the same user and average time on the page is measured in seconds. Users' time on pages which contain links to other pages is lower than time on pages which contain significant information in their own right – for example, users spend most time on the Certified/ Central Products List than the Document Download Centre which takes users to other information. There is a slight change in the most popular pages in that "My Account" displaced the Central Products List into fourth place. It not known why. All pages saw a decline in numbers of visits in line with overall decline in usage, but roughly the same time is spent on each page.

8. 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	09/08/2019	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	09/08/2019	The SECCo Board's regular monthly meeting. The proceedings and minutes of the SECCo Board are confidential.
	TABASC	15/08/2019	The TABASC's regular monthly meeting. The meeting headlines are now available via the link below. **TABASC_45_1508 Meeting Headlines**
	SEC Change Board • SECMP0062[2] • SECMP0067[3]	21/08/2019	The Change Board met once, where it agreed to return the Modification Report for SECMP0062 for further clarification and did not agree to request a DCC Impact Assessment for SECMP0067. The meeting headlines are now available via the link below: **SECCB_33_2108_Meeting Headlines**
	Working Group • SECMP0007[4] • SECMP0067	07/08/2019	One Working Group meeting took place in August 2019 to discuss the progression of SECMP0007 and SECMP0067.
	Security Sub-Committee (SSC)	14/08/2019 28/08/2019	Two SSC meetings took place in August 2019. The meeting headlines for two of the meetings can be found below. **SSC_83_1408 Meeting Headlines** **SSC_84_2808 Meeting Headlines**
	SMKI PMA	20/08/2019	The SMKI PMA held one meeting in August 2019. The meeting headlines can be found below. **SECPMA_60_2008 Meeting Headlines**

2 SECMP0062 'Northbound Application Traffic Management – Alert Storm Protection'
3 SEMP0067 'Service Request for Traffic Management'
4 SECMP0007 'Firmware updates to IHDs and PPMIDs'

Category	Meeting	Meeting Date(s)	Summary of Events
	Operations Group (OPSG)	06/08/2019	The OPSG continue to meet monthly. The meeting headlines are available via the link below. **OSPG_23_0608 Meeting Documentation**
	Testing Advisory Group (TAG)	14/08/2019 28/08/2019	The TAG met twice in August 2019. The minutes will be made available in September 2019.
	Modifications Question Hour	06/08/2019	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	29/08/2019	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	08/08/2019	
	Technical and Business Design Group (TBDG)	21/08/2019	
DCC	Test Design and Execution Group (TDEG)		TDEG was cancelled this month. Topics due to be discussed consisted of an update on User Integration Testing (UIT), an update on the Manchester Test Lab, Migration Device and User Systems Testing, Prepayment joint testing and an update on Release 2.0.

Table 7: Meetings hosted and attended by SECAS