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Action:	**For Information**

Operations Report – September 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 September 2019.

2. Recommendation

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

Fiona Chestnutt

SECAS Team

4 October 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 was one Accession completed in September:

Organisation	Party Category
Quinn Infrastructure Services Limited	Other SEC Party

Table 1: Parties who have acceded to the SEC

3.2 Events of Default

There were five SEC Parties in Default in September; three ongoing defaults which have been discussed at previous Panel meetings, and two Parties were expelled by the SEC Panel ex-Committee.

3.3 Market Exit

One SEC Party ceased trading in September and was expelled by the SEC Panel ex-Committee.

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
Business Energy Solutions Limited	**Small Supplier**	**Gas Supplier**	**13/09/2019**
BES Commercial Electricity Limited	**Small Supplier**	**Export Supplier** **Import Supplier**	**13/09/2019**
MoneyPlus Energy Limited	**Small Supplier**	**Export Supplier** **Import Supplier** **Gas Supplier**	**30/09/2019**

Table 2: UEP Completion

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 two SEC Parties 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 not been informed of any 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	Sep 19
Accessions	2	2	3	3	10	3	3	1	0	0	2	1
In Default	4	4	5	4	6	5	4	4	4	6	4	4
Withdrawals	0	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	2[8]

Table 3: SEC Party Statistics

[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.
8 Solarplicity Supply Limited and Eversmart Energy Limited were expelled from the Code following revocation of their Licence by Ofgem having ceased trading.

At the end of the reporting month, there were 332 Parties to the SEC representing 260 Voting Groups, including the DCC.

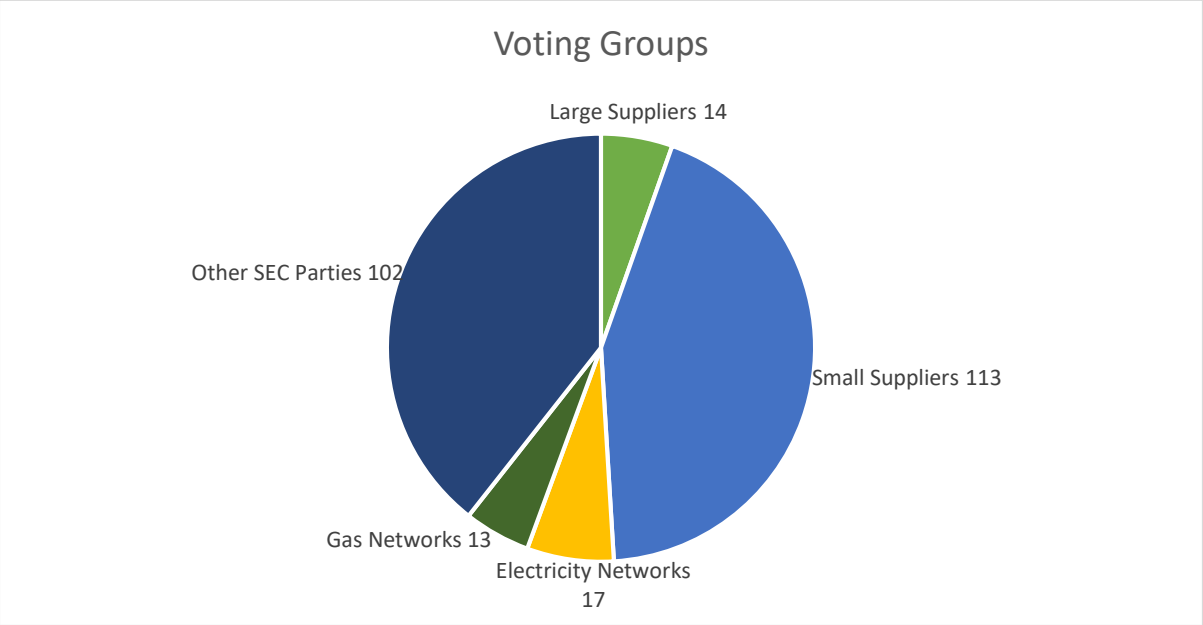

Figure 1: Breakdown of SEC Party Voting Groups (excluding DCC)

4. Monthly SECAS Highlights

4.1 Change Management Update

- We have been working to deliver the November 2019 SEC Release. Following a request from the DCC to revise the implementation date, the Testing Advisory Group (TAG) reviewed the testing approach. The Panel subsequently agreed to request a revised implementation date of 24 November 2019, which was sent to the Authority on 1 October 2019. We have begun work on the full set of redlined changes for this release.
- 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 have consulted with the TABASC and the Operations Group and will provide the Panel with an update this month.
- In response to feedback, we are currently working to revise the guidance on the SEC Change processes on our website. We are aiming to roll out the page changes and the new guidance notes in early October.
- Our Modcasts continue to prove popular, with recent weekly updates attracting over 100 downloads each. We welcome any feedback on these from Parties, to ensure they deliver what listeners need.

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**")	Five new CPL versions were created in September, which involved adding 8 new 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**"	Four new DPL versions were published in September.

Table 4: The SEC Product lists

- We issued the third iteration of the Effectiveness Review questionnaire by the TABASC on 9 September 2019. The purpose is 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 will analyse the responses following the due date of 9 October 2019.

- We published the updated Business Architecture Model (BAM) with SMETS1 Services Release content on 27 September 2019.

- We have facilitated the TABASC's review of how DCC Elective Communications Services can be provided and assured.
- We supported the TAG during its review of the SMETS1 Initial Operating Capability (IOC) Migration Testing Depth and Breadth Documents for each Device Model. The approach has been agreed for Itron Devices, with Honeywell Elster making progress.
- The TAG also reviewed Migration Testing Depth and Breadth Documents for SMETS1 Middle Operating Capacity (MOC). Document changes and the associated governance steps which must be completed were agreed.
- We supported the TAG's assessment of the impact of moving the November 2019 SEC Release to either 24 November or 1 December. Whilst the overall risk profile of the two options is very similar, 24 November allows User testing to continue for an extra day. The TAG identified a risk to the SMETS1 programme associated with both options and highlighted this in its recommendation to the Panel. The TAG will manage this risk.
- We attended the BEIS Implementation Managers Forum (IMF) and TBDG.
- We have worked with the DCC to define the monthly dashboard report requested by the Smart Metering Delivery Group (SMDG).
- We met with DCC to explore ideas for quicks wins in metrics improvements.
- We arranged and chaired a meeting with DCC, CSP N and CSP C&S to investigate the large numbers of Comms Hub exceptions being reported through the Performance Measurement Report. This has initiated several further workstreams within DCC and CSPs.
- We have held meetings with the respective DCC teams to agree the process and documentation requirements for OPSG approval of both the next SMETS1 Release and the November 2019 Release.
- We held the first additional Monthly OPSG meeting to discuss the delegated Panel Reports 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:
    - 3 Fieldwork Assessments completed;
    - 1 First stage validation of a Full User Security Assessment (FUSA) completed;
    - 1 First stage validation of a Verification User Security Assessment (VUSA) completed;
    - 4 Assurance statuses set (FUSA);
    - 3 Compliance statuses set (VUSA);
    - 1 Security Self-Assessment reviewed;
    - 2 FUSA Director's Letters approved;
    - 7 Assessments prepared for SSC review; and
    - 72 Parties currently being assessed.
- We facilitated one User CIO Engagement session in September.

- We attended the SSC/NCSC Industry day on 23 September at the NCSC. Topics for discussion included a review of a number of Use Cases for Device Triage and or Refurbishment; and an introduction to Quantum Computing and what this will mean for Smart Metering Security.
- We contacted SEC Parties to remind them to supply their lead security contact details to SECAS and of the newly agreed SSC guidance regarding compliance with the G3.20 Obligation.
- Supplier Parties were contacted to request remediation plans for L+G GSME Devices with expired CPA certificates and the total number of achieved upgrades as part of SSC's ongoing monitoring of the CPA.
- A further working group meeting was facilitated following the SMKI PMA review and amendments to the Recovery Procedures in Appendix L of the SEC, to discuss the impact on the DCC.
- We presented the SMKI PMA Risk Register at the September meeting and noted amendments to be updated for the next quarterly review.
- Following the SSC Annual Standards review, SECAS Security Experts updated the diagram associated with the key challenges addressed regarding the DCC's role in managing security vulnerabilities. Further guidance for Users is scheduled to be published in the upcoming months.
- The SMKI PMA Standards review was also completed by SECAS this month. Further guidance for Users will be published once a final version has been approved by SMKI PMA.

4.4 Party Support Update

- We delivered the 'Spotlight on the Smart Energy Code' event which was a success. The presentation slides are available for SEC Parties on the website to download, and the event was filmed. We will edit these to post on the website to make these events available to all SEC Parties across the country. Feedback was positive with all aspects of the event rated excellent or very good by participants. There was keen interest in Codeworks and the digitisation of the SEC.

- We have set up a process to activate users to CodeWorks – the online platform that hosts the Digital SEC. We have activated several users (25) from a range of Party categories including Large and Small Suppliers, Other SEC Parties, the DCC, Ofgem and SEC Panel members. We will encourage Parties to register for CodeWorks in our next SEC newsletter.

- We have continued to process Events of Defaults with one Supplier who ceased trading. We are monitoring the situation regarding a number of suppliers where Ofgem has announced an intention to revoke their licences

- We continue to process accessions and User Entry Process evidence. We have also added new information on our monthly UEP progress update that we provide to Ofgem and BEIS, to include which Parties have their systems configured and are therefore eligible to be Live DCC Users, and which Parties are actually using DCC services. This is following a change in the way the DCC provides their reports on Live users following requests from regulators.

- We welcomed a new team member - Adam Musgrave as 'SECAS Customer Support and Stakeholder Engagement Co-Ordinator'.

4.5 Code Administrator Code of Practice (CACoP) Update

- We continue to review the feedback received from the Engagement Day and what we can do in response to these. We will be agreeing the forward work plan at a workshop in October, after which we will update the industry on next steps.
- Ofgem presented the overall findings from the Code Administrator Survey to the Code Administrators prior to their publication. We expect Ofgem to publish these in early October.
- We reviewed the feedback from Code Panels and from the Code Administrator Survey on the central CACoP website proposal. In response to increasing calls from the industry for this, the Forum agreed to proceed with developing requirements and seeking a quote for the work. We will update the Panel on progress with this.
- 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. We are preparing a proposal to review the Credit Default arrangements and whether the process of different Codes engaging with the Authority can be made more efficient.

5. SECAS Time Devoted by Service Area

The total number of resource days in September 2019 was **600.** The division of effort within the reporting month is shown at Driver level below:

	Driver	Days (rounded)
Services	Committee Support	99
	Security and Privacy	143
	Change Management	115
	Party Support and Engagement	66
	Technical and Operational activities	104
Projects	Smarter Markets	15
	Annual Security Obligations	0
	BAD/TAD	2
	Security Threats	0
	Data Quality	17
	Release Management	8
	SEC Digitisation	12
	CPL Enhancement	9
	TSIRS Transfer	10
Grand Total		**600**

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

6. Helpdesk Activities

The SECAS Helpdesk receives enquiries via email and telephone. There were 16 telephone enquiries and 1,493 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:

	Oct 18	Nov 18	Dec 18	Jan-19	Feb-19	Mar-19	Apri-19	May-19	June-19	July-19	Aug-19	Sept-19
Applications	43	19	84	59	56	50	28	32	23	14	6	14
Sub-Committees	441	167	206	342	298	331	355	304	298	127	262	203
Consultation Correspondence	3	4	11	9	2	4	7	11	6	4	2	7
Contact Info	36	26	33	28	39	38	29	41	43	15	40	57
General Queries	7	56	49	44	41	40	61	48	39	37	32	41
Panel & Board Correspondence	46	16	51	48	45	65	46	52	89	27	43	36
Modifications	524	576	502	534	411	423	358	280	291	389	310	425
User CIO Assessments	346	325	312	475	500	589	578	962	955	984	717	606
Party/RDP Signifiers	1	0	0	4	3	2	1	2	2	1	0	0
Training Days/Seminars	0	0	34	17	87	33	27	39	15	137	41	6
Other	167	130	61	76	89	102	55	79	94	144	84	98
Total	**1,614**	**1,319**	**1,343**	**1,636**	**1,571**	**1,677**	**1,545**	**1,850**	**1,855**	**1,879**	**1,537**	**1,493**

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.

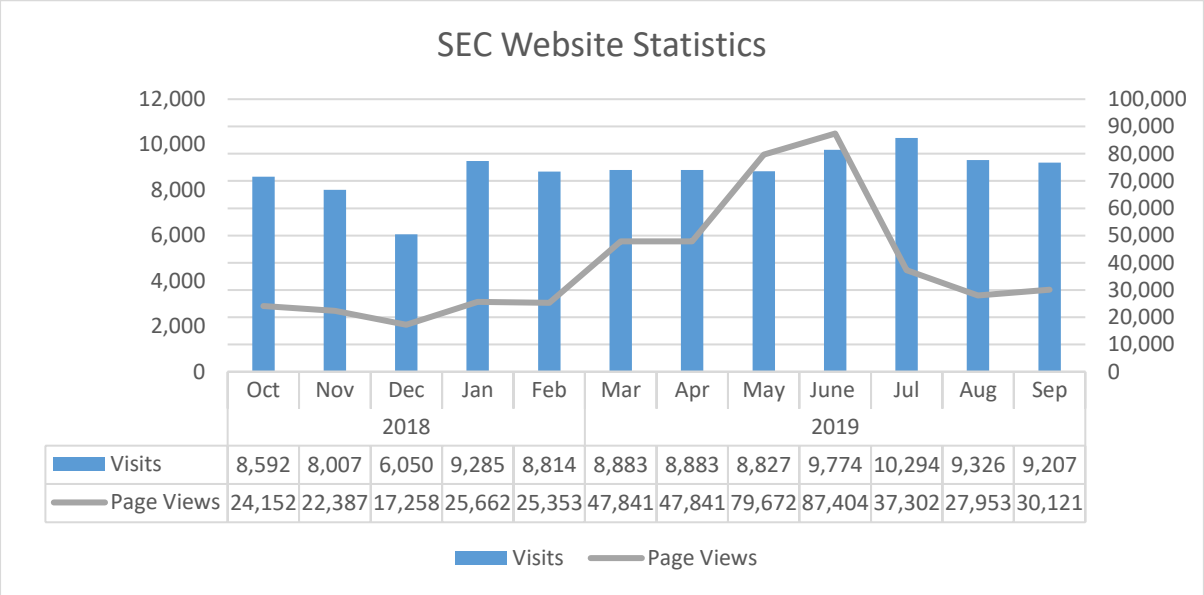

Figure 2: SEC Website Usage

Visits = the number of times that the site is visited. Page views = the total number of pages viewed, which may include multiple views by the same user. There was a slight decline in visits but an increase in pages viewed showing that users remain engaged with the site.

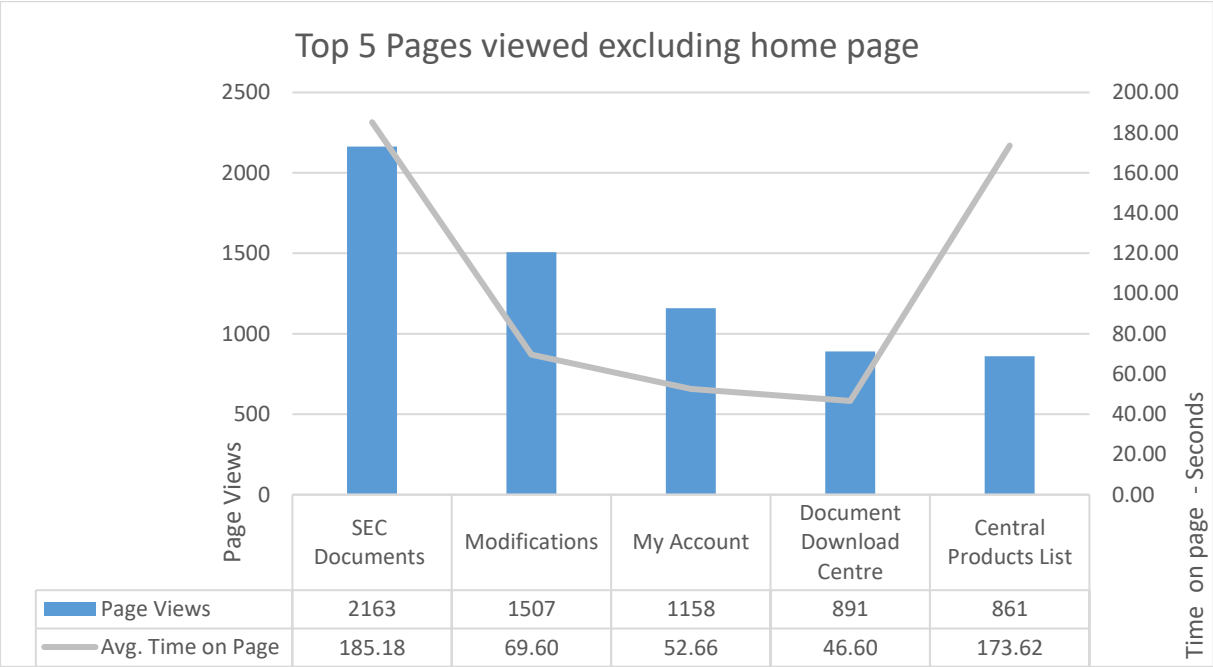

Figure 3: Most visited pages on the SEC Website – excluding home page

A new page was added for The Digital Smart Energy Code - linking to CodeWorks. So far, it has had 410 page views of which 223 were unique page views. 25 users have been registered to CodeWorks to date.

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	13/09/2019	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	13/09/2019	The SECCo Board's regular monthly meeting. The proceedings and minutes of the SECCo Board are confidential.
	TABASC	19/09/2019	The TABASC's regular monthly meeting. The meeting headlines are now available via the link below. **TABASC_46_1909_Meeting Headlines**
	SEC Change Board • MP076[2]	18/09/2019	The Change Board met once in September, where it agreed to recommend that the Authority approve MP076. The meeting headlines are now available via the link below: **SECCB_34_1809_Meeting Headlines**
	Working Group • SECMP0063[3] • SECMP0077[4]	04/09/2019	One Working Group meeting took place in September 2019 to discuss the progression of SECMP0063 and MP077.
	Security Sub-Committee (SSC)	11/09/2019 25/09/2019	Two SSC meetings took place in September 2019. The meeting headlines for two of the meetings can be found below. **SSC_85_1109 Meeting Headlines** **SSC_86_2509 Meeting Headlines**
	SMKI PMA	17/09/2019	The SMKI PMA held one meeting in September 2019. The meeting headlines can be found below. **SECPMA_61_1709 Meeting Headlines**
	Operations Group (OPSG)	03/09/2019 and 23/09/2019	The OPSG met twice in September. In addition to the regular monthly meeting, an additional meeting is required to discuss the SEC Panel reports.

2 MP076 'Pursuing Non-Payment in Events of Default'
3 SECMP0063 'Ensuring correct Network Operator Certificates are placed on Electricity Smart Meters'
4 MP077 'DCC Service Flagging'

Category	Meeting	Meeting Date(s)	Summary of Events
			The meeting headlines are available via the link below. **OSPG_24_0309 - Meeting Documentation** **OPSG_24x_2309 – Meeting Headlines**
	Testing Advisory Group (TAG)	13/09/2019 25/09/2019	The TAG met twice in September 2019. The minutes will be made available in October 2019.
	Modifications Question Hour	09/09/2019	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	26/09/2019	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	12/09/2019	
	Technical and Business Design Group (TBDG)	18/09/2019	
DCC	Test Design and Execution Group (TDEG)	10/09/2019	TDEG provided an update on: • The Manchester Test Lab • The Pending Product Combination Testing • SMETS1 Test Assurance progress • November 2019 Release

Table 6: Meetings hosted and attended by SECAS