

This document is classified as **White** in accordance with the Panel Information Policy. Information can be shared with the public, and any members may publish the information, subject to copyright.

Paper Reference:	SECP_74_1511_28
Action:	For Information

Operations Report – October 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 October 2019.

2. Recommendation

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

Fiona Chestnutt

SECAS Team

8 November 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 may be one Accession completed in October, SECAS are currently awaiting payment:

Organisation	Party Category
Forbury Assets Limited	Electricity Network

Table 1: Parties who may accede to the SEC

3.2 Events of Default

There were five SEC Parties who were in Default in October; two ceased trading, one had not paid it's DCC Charges, and two have been ongoing Events of Default for over 12 months.

3.3 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
Economy Gas Limited	Small Supplier	Gas Supplier	01/11/2019
Sinq Power Limited	Small Supplier	Import Supplier	01/11/2019

Table 2: UEP Completion

3.4 Testing Update

SMKI and Repository Entry Process Testing (SREPT)

There were no notifications of SREPT completion since the last SEC Panel meeting.

Completion of the User Entry Process Testing (UEPT)

Since the last SEC Panel meeting, SECAS has been informed of 28 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 been informed of eight SEC Parties having successfully completed SMETS1 Eligibility Testing. Further details can be found in Confidential Appendix A.

3.5 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	Oct 19
Accessions	2	2	3	3	10	3	3	1	0	0	2	1	1 ¹
In Default	4	4	5	4	6	5	4	4	4	6	4	4	5
Withdrawals	0	0	0	0	0	0	0	0	0	0	0	0	0
Expulsions	0	1	3	1	1	1	0	0	0	1	0	2	1 ²

Table 3: SEC Party Statistics

At the end of the reporting month, there were 331 Parties to the SEC representing 260 Voting Groups, including the DCC.

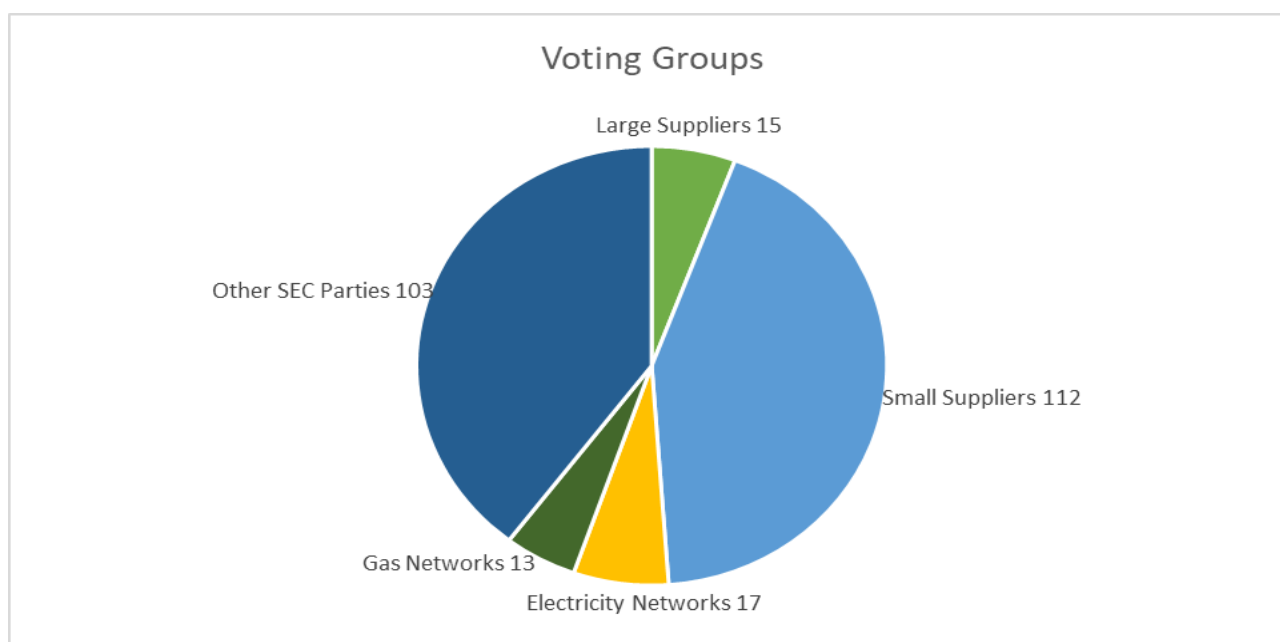


Figure 1: Breakdown of SEC Party Voting Groups (excluding DCC)

¹ Should the company pay in time for the SECCo Board meeting on 15 November, it will accede to the SEC this month.

² Spark Energy Limited was expelled from the Code, having ceased trading and the successful transfer of all customers to the gaining Supplier.

4. Monthly SECAS Highlights

4.1 Change Management Update

- We have been working to deliver the November 2019 SEC Release. Following a recommendation from the Testing Advisory Group (TAG), the Panel subsequently agreed to further revise the implementation date to 29 November 2019. We are now in the final stages of the Release, and the Panel will be asked to give its approval to proceed this month.
- We have been working with the DCC to understand the potential modifications that could be included in the November 2020 SEC Release, and will be presenting the proposed scope to the Panel this month.
- A significant number of new Modification Proposals have been raised in the last couple of months, with 10 Draft Proposals now deemed ready by the Change Sub-Committee to be converted to full Modification Proposals this month. We currently have 33 open proposals undergoing assessment.
- We continue to seek a response from the DCC regarding the SEC Panel's letter that was sent in August. It seeks information on how the DCC intends to reduce the timescales for completing DCC Assessments. We have requested that a response is provided ahead of the December Panel meeting.
- 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 web-page changes and the new guidance notes in November.
- We have been updating the smart landscape plan-on-a-page to include more BEIS and DCC led changes and testing timescales, and are intending to release a new version in November.
- Our Modcasts continue to prove popular, with weekly updates regularly attracting over 100 downloads each. Our special episode on the digitalisation of the SEC has received over 350 downloads. 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 (CPL)	SEC Section F2.1 The Panel shall establish and maintain a list (the " Central Products List ")	Three new CPL versions were created in October, which involved adding eight new entries. The CPL Enhancement Project is underway and is 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.
<u>SMETS1 Pending Product Combinations List (PPCL)</u>	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 ".	The DCC provided one new version of the SMETS1 PPCL in October.
<u>SMETS1 Eligible Product Combinations List (EPCL)</u>	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.
<u>Deployed Products List (DPL)</u>	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 October.

Table 4: The SEC Product lists

- We undertook an analysis of the Effectiveness Review questionnaire responses to facilitate the TABASC's review in November 2019, and to understand whether further investigation or actions are required.
- We facilitated the TABASC decision to agree the process for adding Alerts to the Non GBCS Non-Mandated Alerts (NGNM) register. The current register, form and process for raising a new NGNM Alert Code can be accessed [here](#).
- We supported the TAG during its review of the SMETS1 Initial Operating Capability (IOC) Migration Testing Depth and Breadth Documents for each Device Model. An 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 quick wins in metrics improvements.
- We arranged and chaired a meeting with DCC, CSP North and CSP Central & South 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.

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:
 - Seven Fieldwork Assessments completed;
 - Three First stage validations of a Verification User Security Assessment (VUSA) completed;
 - Two Compliance statuses set (VUSA);
 - One Security Self-Assessment reviewed;
 - One FUSA Director's Letters approved;
 - Two VUSA Director's Letters approved;
 - Three Assessments prepared for SSC review; and
 - 79 Parties currently being assessed.
- We supported a User Independent Privacy Auditor (IPA) Engagement session in October.
- Following notification of the newly agreed SSC guidance regarding compliance with the G3.20 Obligation, we reminded Users that they can make arrangements to satisfy these obligations, directly with a Manufacturer.
- We contacted Supplier Parties to request their latest remediation plans for L+G GSME Devices with expired Commercial Products Assurance (CPA) certificates and the total number of achieved upgrades as part of SSC's ongoing monitoring of the CPA.

4.4 Party Support Update

- We delivered the 'Introduction to the SEC' event, which was a success, attracting over 30 SEC Parties. The presentation slides are available for SEC Parties [on the website](#) to download, and the event was filmed. Once edited, the video will be posted 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. We successfully promoted CodeWorks and the digitisation of the SEC, which attracted significant interest.
- We have added many more users to CodeWorks, the online platform that hosts the Digital SEC. We now have over 100 users from a range of Party categories including Large and Small Suppliers, Other SEC Parties, the DCC, Ofgem and SEC Panel Members. We will continue to encourage Parties to register for CodeWorks in our next SEC newsletter.
- We have continued to process Events of Defaults with two Suppliers who ceased trading.
- We sent out a short questionnaire to Small Suppliers to understand how they wish to be engaged, and to understand if they believe the pre-Panel meeting to be of use. Responses were low but indicated that Small Suppliers do want to be kept updated and believe the Small Supplier pre-Panel call to be of interest. Party Support are investigating a variety of ways that may improve engagement with this SEC Party category and across all SEC Party types.

4.5 Code Administrator Code of Practice (CACoP) Update

- The CACoP Forum held a dedicated session to review the feedback received from the Engagement Day and what we can do in response. We have agreed the actions we plan to take and which of these are a priority. The Forward Work Plan will be updated in due course to reflect the next steps.
- The second edition of the CACoP Newsletter was issued in October – this can be found [here](#).
- The results of the Code Administrator Survey were published by Ofgem on 11 October – these can be found [here](#). SECAS has been reviewing the findings and preparing a list of actions to take in response to these.
- We continue to engage with the other CACoP members over a number of cross-cutting issues. We will shortly be raising 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 October 2019 was **688**. The division of effort within the reporting month is shown at Driver level below:

	Driver	Days (rounded)
Services	Committee Support	109
	Security and Privacy	151
	Change Management	151
	Party Support and Engagement	83
	Technical and Operational activities	112
Projects	Smarter Markets	7
	Annual Security Obligations	0
	BAD/TAD	0
	Security Threats	0
	Data Quality	17
	Release Management	1
	SEC Digitisation	3
	CPL Enhancement	16
	TSIRS Transfer	6
	Operational Metrics Review	29
	SEC Document Review	2
Grand Total		688

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 1829 email enquiries to the various SECAS mailboxes in October 2019.

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

	Nov 18	Dec 18	Jan 19	Feb 19	Mar 19	April 19	May 19	Jun 19	Jul 19	Aug 19	Sept-19	Oct 19
Accessions	19	84	59	56	50	28	32	23	14	6	14	40
Sub-Committees	167	206	342	298	331	355	304	298	127	262	203	157
Modification Consultation Correspondence	4	11	9	2	4	7	11	6	4	2	7	2
SEC Party Contact detail changes	26	33	28	39	38	29	41	43	15	40	57	172
General Queries	56	49	44	41	40	61	48	39	37	32	41	71
Panel & Board Correspondence	16	51	48	45	65	46	52	89	27	43	36	24
Modifications	576	502	534	411	423	358	280	291	389	310	425	476
User CIO Assessments	325	312	475	500	589	578	962	955	984	717	606	692
Engagement Days	0	34	17	87	33	27	39	15	137	41	6	126
Other	130	61	76	89	102	55	79	94	144	84	98	69
Total	1,319	1,343	1,636	1,571	1,677	1,545	1,850	1,855	1,879	1,537	1,493	1,829

Table 5: SECAS Helpdesk Emails

7. CodeWorks Statistics

CodeWorks is proving to be popular with SEC Parties. To date, the number of users from various categories are as follows:

User Category	Number of CodeWorks Users
BEIS	1
DCC	12
Independent Chair	3
Large Supplier	30
Network	8
Ofgem	4
Other SEC Party	18
SEC Panel	4
Small Supplier	19
Sub-Committee Member	2
TOTAL number of users	101

Table 6: Total number of CodeWorks Users

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	11/10/2019	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	11/10/2019	The SECCo Board's regular monthly meeting. The proceedings and minutes of the SECCo Board are confidential.
	Technical Architecture and Business Architecture Sub-Committee (TABASC)	17/10/2019	The TABASC's regular monthly meeting. The meeting headlines are now available via the link below. TABASC 47 1710 Meeting Headlines
	Change Board		The Change Board did not meet in October. The next meeting is scheduled for 20 November.
	Change Sub-Committee (CSC)	29/10/2019	The CSC met once in October where it agreed to recommend to the Panel the next steps for Draft Proposals DP082 ³ , DP084 ⁴ , DP085 ⁵ , DP086 ⁶ , P088 ⁷ , DP089 ⁸ , DP090 ⁹ , DP091 ¹⁰ and DP092 ¹¹ . The minutes will be made available in November 2019.
	Working Group <ul style="list-style-type: none"> SECMP0046¹² SECMP0062¹³ SECMO0067¹⁴ MP079¹⁵ 	02/10/2019	One Working Group meeting took place in October 2019 to discuss the progression of SECMP0046, SECMP0062, SECMP0067 and MP079.

³ [DP082 '2.4GHz Channel Management'](#)

⁴ [DP084 'Other User Panel Seating Amendment'](#)

⁵ [DP085 'Synchronisation of smart meter voltage measurement periods'](#)

⁶ [DP086 'Alt HAN Roll-Out Financing'](#)

⁷ [DP088 'Power to raise modifications'](#)

⁸ [DP089 'Changes to Appendix R 'Common Testing Scenarios Document''](#)

⁹ [DP090 'Incorporation of Non GBCS Non-Mandated Alerts into the SEC'](#)

¹⁰ [DP091 'Updating Security Assurance Status'](#)

¹¹ [DP092 'New Planned Maintenance methodology'](#)

¹² [SECMP0046 'Allow DNOs to control Electric Vehicle chargers connected to Smart Meter infrastructure'](#)

¹³ [SECMP0062 'Northbound Application Traffic Management – Alert Storm Protection'](#)

¹⁴ [SECMP0067 'Service Request Traffic Management'](#)

¹⁵ [MP079 'Provisions for withdrawing modifications'](#)

Category	Meeting	Meeting Date(s)	Summary of Events
	Security Sub-Committee (SSC)	09/10/2019 23/10/2019	Two SSC meetings took place in October 2019. The meeting headlines for two of the meetings can be found below. SSC 87 0910 Meeting Headlines SSC 88 2310 Meeting Headlines
	SMKI PMA	15/10/2019	The SMKI PMA held one meeting in October 2019. The meeting headlines can be found below. SECPMA 62 1510 Meeting Headlines
	Operations Group (OPSG)	01/10/2019 28/10/2019	The OPSG met twice in October. In addition to the regular monthly meeting, an additional meeting is required to discuss the SEC Panel reports. The meeting headlines are available via the link below. OSPG 25 0110 - Meeting Headlines OPSG 25x 2810 – Meeting Headlines
	Testing Advisory Group (TAG)	10/10/2019 18/10/2019 30/10/2019	The TAG met three times in October 2019. The minutes are classified as Amber.
	Modifications Question Hour	07/10/2019	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	31/10/2019	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	10/10/2019	
	Technical and Business Design Group (TBDG)	16/10/2019	
DCC	Test Design and Execution Group (TDEG)	08/10/2019	TDEG provided an update on: <ul style="list-style-type: none"> Challenges relating to Pre-Payment Interface Devices (PPMIDs) Device Model Combination Testing Defects identified during SMETS1 testing

Table 7: Meetings hosted and attended by SECAS