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<b>Action:</b>	<b>For Information</b>

## Operations Report – November 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 November 2019.

### 2. Recommendation

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

Fiona Chestnutt

SECAS Team

6 December 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 November:

Organisation	Party Category
Simply Your Energy Limited	Electricity Network

**Table 1: Parties who have acceded to the SEC**

There are four firms that wish to accede to the SEC this month and require the SECCo Board's approval. SECAS await payment from two of these firms and will update the SECCo Board on 13 December if this has been received.

Organisation	Party Category	Status
Equinicity Limited	Small Supplier	Ready for SECCo Board Approval
Forbury Assets Limited	Electricity Network	Ready for SECCo Board Approval
CNG Retail UK Limited	Small Supplier	Awaiting payment
Surface Technology International Limited	Other SEC Party	Awaiting payment

**Table 2: Parties who wish to accede to the SEC**

#### 3.2 Events of Default

There were five SEC Parties who were in Default in November. Two had not paid their DCC charges on time, but consequently made payment, one is in continuing Default from the previous month, and two have been ongoing Events of Default for over 12 months. Further information can be found in confidential Panel Paper SECP\_75\_1312\_15 (Events of Default).

#### 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
Bluegreen Energy Services Limited	Small Supplier	Import Supplier, Export Supplier, Gas Supplier	02/12/2019

<b>Simplicity Energy Limited</b>	Small Supplier	Import Supplier, Gas Supplier	27/11/2019
<b>Daisy Energy Supply Limited</b>	Small Supplier	Import Supplier, Export Supplier, Gas Supplier	12/11/2019

**Table 3: UEP Completion**

### 3.4 Testing Update

#### SMKI and Repository Entry Process Testing (SREPT)

Since the last Panel meeting, SECAS has been informed of five SEC Parties having successfully completed SREPT. 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 22 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:

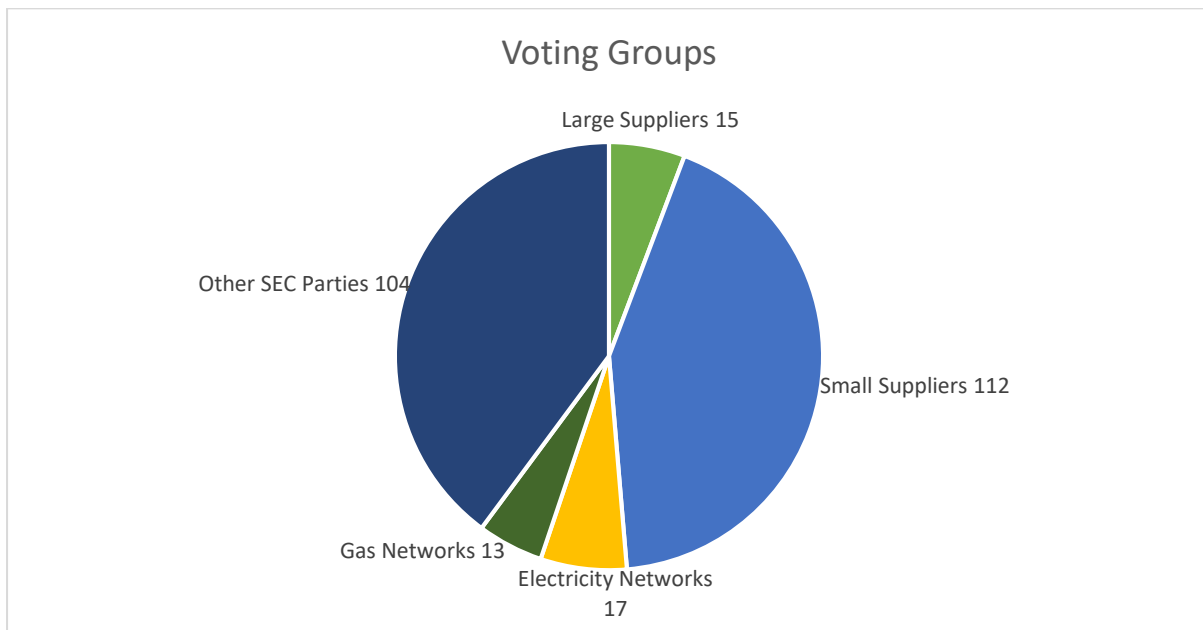
- acceded to the SEC;
- are in Default;
- withdrew from the SEC; and
- were expelled from the SEC.

	Nov 18	Dec 18	Jan 19	Feb 19	Mar 19	Apr 19	May 19	Jun 19	Jul 19	Aug 19	Sep 19	Oct 19	Nov 19
Accessions	2	3	3	10	3	3	1	0	0	2	1	1	4 <sup>1</sup>
In Default	4	5	4	6	5	4	4	4	6	4	4	5	5
Withdrawals	0	0	0	0	0	0	0	0	0	0	0	0	0
Expulsions	1	3	1	1	1	0	0	0	1	0	2	1	1 <sup>2</sup>

**Table 4: SEC Party Statistics**

<sup>1</sup> Should two of the companies pay in time for the SECCo Board meeting on 13 December, it will accede to the SEC this month.

<sup>2</sup> Rutherford Energy Limited was expelled from the Code, having ceased trading and the successful transfer of all customers to the gaining Supplier.



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

At the end of the reporting month, there were 330 Parties to the SEC representing 261 Voting Groups, including the DCC.

## 4. Monthly SECAS Highlights

### 4.1 Change Management Update

- The [November 2019 SEC Release](#), the first enduring SEC Release with DCC System changes, was successfully implemented on 29 November 2019.
- This continues to be a busy time for SEC Change, with 24 open proposals undergoing the Refinement Process and a further four currently undergoing the Development Stage. Several of these proposals, including [SECMP0007 'Firmware updates to IHDs and PPMIDs'](#), [SECMP0046 'Allow DNOs to control Electric Vehicle chargers connected to Smart Meter infrastructure'](#), [SECMP0062 'Northbound Application Traffic Management - Alert Storm Protection'](#) and [SECMP0067 'Service Request Traffic Management'](#) are significant changes which have required a much larger amount of our time and effort to progress. We are reviewing which proposals need to be progressed quicker to ensure timely decisions can be made for effective implementation.
- A response from the DCC regarding the SEC Panel's August letter on DCC Assessment timescales is being provided at the December Panel meeting.
- We have successfully implemented changes to the Change and Releases section of our website, to make it easier to navigate. Among our improvements, we have introduced specific pages for each SEC Release, collated all our Change reporting into one place, and created an online form for raising a new Draft Proposal. We are working to revise our guidance notes on the SEC Change processes and will add these in due course.

- We have updated the smart landscape plan-on-a-page to include more BEIS and DCC led changes and testing timescales. We continue to welcome feedback from users to ensure this provides the information they need as a single source of all change in the smart landscape.

## 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
<a href="#"><u>Central Products List (CPL)</u></a>	<b>SEC Section F2.1</b> The Panel shall establish and maintain a list (the " <b>Central Products List</b> ")	Three new CPL versions were created in November, which included five new entries.  The CPL Enhancement Project is underway and is reported and monitored via the Technical Architecture and Business Architecture Sub-Committee (TABASC).  The investigation of the potential alternatives for signing CPL submission forms in order to verify the authenticity of a Supplier/DCC is ongoing.
<a href="#"><u>SMETS1 Pending Product Combinations List (PPCL)</u></a>	<b>SEC Section F2.10A (b)</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 " <b>SMETS1 Pending Product Combinations</b> ".	A new version of the SMETS1 PPCL was not published in November.
<a href="#"><u>SMETS1 Eligible Product Combinations List (EPCL)</u></a>	<b>SEC Section F2.10A (a)</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 " <b>SMETS1 Eligible Product Combinations</b> ".	A new version has not been provided by the DCC since the initial version of the SMETS1 EPCL.
<a href="#"><u>Deployed Products List (DPL)</u></a>	<b>SEC Section F2.10</b> 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 " <b>Deployed Products List</b> "	Eight new DPL versions were published in November.

**Table 5: The SEC Product lists**

- We are actioning the next steps which were identified from the Effectiveness Review questionnaire analysis. We are currently discharging several actions and expect to complete these by January 2020. The information will form the basis of an updated report to the TABASC. Some of the actions overlap with initiatives already being progressed through the SEC Operations Group and these will be highlighted in the report.
- We facilitated the TABASC review and confirmation to support the activities outlined in the SEC Strategic Plan. These activities are known industry changes which may impact the SEC

arrangements. The TABASC feedback is incorporated into the SEC Panel Draft Budget 2012 – 2023.

- We have developed an Issues Log alongside the Risk Register, for the TABASC to monitor regularly.
- We supported the Testing Advisory Group (TAG) during its review of the SMETS1 Middle Operating Capability (MOC) Migration Testing and Systems Integration Testing (SIT) Depth and Breadth Documents for each Device Model. An approach has been agreed for Morrison Data Services (MDS) Devices, with formal approval pending.
- SECAS also supported the TAG's review of DCC's proposed Standard Test Pack for SMETS1 Device Model Combination Testing, which identified the need for additional negative testing in relation to the generation of spurious or excessive Alerts.
- We supported the TAG's assessment of the testing approach Depth and Breadth documents relating to the SMETS1 Final Operating Capability (FOC) for solution, migration and regression testing, including facilitating the provision of comments from TAG members to DCC outside of the meeting.
- SECAS met with DCC with the aim of reducing the volume of documents provided to the TAG when a formal decision is required to focus discussions at the right level of detail. We also discussed revisions to improve the grouping and prioritisation of topics for discussion.
- We are supporting the OPSG and DCC investigation of faulty Communications Hubs being returned.
- We are also supporting the DCC in making amendments to the reporting of Communications Hub Alerts split by Communication Service Provider (CSP), along with the number of Communications Hubs installed in each CSP Region and the impact of Alerts on the provision of the Services due to the reduced availability of network capacity.
- We are supporting the OPSG assessment of DCC's proposed changes to the Performance Measurement Methodology to incorporate the reporting of performance relating to SMETS1 in the metrics.
- We supported the OPSG development and agreement of the mechanism for approving any increase in the size of SMETS1 migration tranches above the currently agreed level of 2K.

#### **4.3 Security, Privacy & SMKI PMA Updates**

- We hosted one Smart Metering Key Infrastructure Policy Management Authority (SMKI PMA) and three Security Sub-Committee meetings this month.
- An overview of User assessment activity is provided below:
  - 13 Fieldwork Assessments completed;
  - One first stage validation of a Verification User Security Assessment (VUSA) completed;
  - Two Compliance statuses set (VUSA);
  - Three Security Self-Assessment reviewed;
  - One Full User Security Assessment (FUSA) Director's Letter approved;
  - Six Assessments prepared for SSC review; and
  - 83 Parties currently being assessed.

- We presented an overview of Security and Privacy Assessments at the Introduction to the SEC Event on 5 November 2019, providing useful tips and guidance for new SEC Parties.
- We supported an Engagement session with the User Independent Privacy Auditor (IPA).
- 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.
- On 6 November 2019, we facilitated an SSC (CPA) Working Group with SSC Members and other Industry Representatives to further discuss proposed Use Cases for Device Triage.
- Following the November SMKI PMA meeting, we issued guidance to ensure the correct Network Operator Certificates are placed on Devices post-Commissioning. The guidance shows how a Distribution Network Operator (DNO) can put another DNO's Certificates on a Device when they find that their Organisation Certificate has been incorrectly placed on a Device.
- We issued a notice to Suppliers to clarify the requirements for CPA Remediation Plan submission and related SEC G3.18 compliance, the use of the Smart Meter Inventory Data to inform User Security Assessments, and monitoring of SMETS1 and SMETS2+ Enrolled Devices.

#### 4.4 Party Support Update

- We have added more users to CodeWorks, the online platform that hosts the Digital SEC. We now have over 120 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 SEC Parties who failed to pay their DCC charges. Both Events of Default have been resolved and the Parties continue to trade.
- We have composed a Website Enhancement Development project proposal with the aim to improve our website to make it more user-friendly and provide more functionality. Should the proposal be approved by the SEC Panel and SECCo Board, we will aim to complete Phase 1 by the end of January 2020.
- We have also been working through our Guidance Notes to ensure they are up-to-date, user-friendly and provide SEC Parties with clarity and useful information.

#### 4.5 Code Administrator Code of Practice (CACoP) Update

- The CACoP Forum has completed its review of the feedback received from the Engagement Day and what Code Administrators can do in response. We have agreed the actions we plan to take and which of these are a priority. The Forward Work Plan is being updated by National Grid to reflect the next steps.
- We continue to engage with the other CACoP members over a number of cross-cutting issues. We continue to chase the Distribution Connection and Use of System Agreement (DCUSA) over the corresponding governance changes for [SECMP0046 'Allow DNOs to control Electric Vehicle chargers connected to Smart Meter infrastructure'](#), and have highlighted the Panel's concerns over this. We have also now raised [DP095 'Alignment of SEC Credit Cover'](#), part of which will examine whether the process of different Codes engaging with the Authority can be made more efficient.

- The Code Administrators take turns to chair the CACoP Forum each year, with the Grid Code, managed by National Grid, having held the chair in 2019. The Independent Gas Transporters Uniform Network Code (iGT UNC), managed by Gemserv, will be the chair in 2020, and the handover is currently underway.

## 5. SECAS Time Devoted by Service Area

The total number of resource days in November 2019 was **627**. The division of effort within the reporting month is shown at Driver level below:

	Driver	Days (rounded)
<b>Services</b>	Committee Support	103
	Security and Privacy	120
	Change Management	131
	Party Support and Engagement	72
	Technical and Operational activities	132
<b>Projects</b>	Smarter Markets	4
	Annual Security Obligations	5
	BAD/TAD	0
	Security Threats	0
	Data Quality	11
	Release Management	0
	SEC Digitisation	5
	CPL Enhancement	7
	TSIRS Transfer	4
	Operational Metrics Review	25
	SEC Document Review	8
<b>Grand Total</b>		<b>627</b>

**Table 6: Division of Effort by Driver (Days Worked)**



## 6. Helpdesk Activities

The SECAS Helpdesk receives enquiries via email and telephone. There were 31 telephone enquiries and 1832 email enquiries to the various SECAS mailboxes in November 2019.

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

	Dec 18	Jan 19	Feb 19	Mar 19	April 19	May 19	Jun 19	Jul 19	Aug 19	Sept-19	Oct 19	Nov 19
Accessions	84	59	56	50	28	32	23	14	6	14	40	74
Sub-Committees	206	342	298	331	355	304	298	127	262	203	157	272
Modification Consultation Correspondence	11	9	2	4	7	11	6	4	2	7	2	2
SEC Party Contact detail changes	33	28	39	38	29	41	43	15	40	57	172	120
General Queries	49	44	41	40	61	48	39	37	32	41	71	61
Panel & Board Correspondence	51	48	45	65	46	52	89	27	43	36	24	25
Modifications	502	534	411	423	358	280	291	389	310	425	476	550
User CIO Assessments	312	475	500	589	578	962	955	984	717	606	692	619
Engagement Days	34	17	87	33	27	39	15	137	41	6	126	17
Other	61	76	89	102	55	79	94	144	84	98	69	92
<b>Total</b>	<b>1,343</b>	<b>1,636</b>	<b>1,571</b>	<b>1,677</b>	<b>1,545</b>	<b>1,850</b>	<b>1,855</b>	<b>1,879</b>	<b>1,537</b>	<b>1,493</b>	<b>1,829</b>	<b>1,832</b>

**Table 7: 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	13
Independent Chair	2
Large Supplier	39
Network	11
Ofgem	4
Other SEC Party	21

SEC Panel	5
Small Supplier	24
Sub-Committee Member	2
<b>Total number of users</b>	<b>122</b>

**Table 8: 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
<b>SEC Governance Meetings</b>	SEC Panel	15/11/2019	The Panel's regular monthly meeting. Further information on the proceedings of this meeting is available in the public minutes on the <a href="#">SEC Website</a> .
	SECCo Board	15/11/2019	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)	21/11/2019	The TABASC's regular monthly meeting. The meeting headlines are now available via the link below.  <a href="#">TABASC 48 2111 Meeting Headlines</a>
	Change Board	20/11/2019	The Change Board met to discuss SECMP0053 and MP081. The meeting headlines are now available via the link below.  <a href="#">SECCB 36 2011 - Meeting Headlines</a>
	Change Sub-Committee (CSC)	26/11/2019	The CSC met once in November where it discussed DP094 <sup>3</sup> , DP095 <sup>4</sup> , DP096 <sup>5</sup> and DP097 <sup>6</sup> . The minutes will be made available in December 2019.
	Working Group <ul style="list-style-type: none"> <li>SECMP0007<sup>7</sup></li> <li>SECMP0066<sup>8</sup></li> <li>MP0080<sup>9</sup></li> </ul>	06/11/2019	Two Working Group meetings took place in November 2019.  Recordings of both meetings can be downloaded from the links below:

<sup>3</sup> [DP094 'Supporting prepayment customers in no SM WAN scenarios'](#)

<sup>4</sup> [DP095 'Alignment of SEC Credit Cover'](#)

<sup>5</sup> [DP096 'DNO Power Outage Alerts'](#)

<sup>6</sup> [DP097 'Improving SMETS2 Meter Installs for New Connections'](#)

<sup>7</sup> [SECMP0007 'Firmware updates to IHDs and PPMIDs'](#)

<sup>8</sup> [SECMP0066 'Advanced Shipment Notifications \(ASN\) for Consignment of Communications Hubs'](#)

<sup>9</sup> [MP0080 'Ensuring a managed move to DUIS version 3.1'](#)

Category	Meeting	Meeting Date(s)	Summary of Events
	<ul style="list-style-type: none"> <li>MP083<sup>10</sup></li> <li>SECMP00062<sup>11</sup></li> <li>SECMP00067<sup>12</sup></li> </ul>	19/11/2019	<a href="#">Recording of Monthly Working Group Meeting - November</a> <a href="#">Recording of SECMP00062 and SECMP00067 Working Group Meeting</a>
	Security Sub-Committee (SSC)	13/11/2019 27/11/2019	<p>Two SSC meetings took place in November 2019. The meeting headlines for the meetings can be found below.</p> <p><a href="#">SSC 89 1311 Meeting Headlines</a></p> <p><a href="#">SSC 90 2711 Meeting Headlines</a></p>
	SMKI PMA	19/11/2019	<p>The SMKI PMA held one meeting in October 2019. The meeting headlines can be found below.</p> <p><a href="#">SECPMA 63 1911 Meeting Headlines</a></p>
	Operations Group (OPSG)	05/11/2019 08/11/2019 13/11/2019 25/11/2019	<p>The OPSG met four times in November. In addition to the regular monthly meeting, the additional meetings discussed the DCC Live Service Criteria, Prepayment Interface Device joins and SMETS1 alerts, and to discuss the SEC Panel reports.</p> <p>The meeting headlines are available via the link below.</p> <p><a href="#">OPSG 26 0511 - Meeting Headlines</a></p> <p><a href="#">OPSG 26a 0811 – Meeting Headlines</a></p> <p><a href="#">OPSG 26b 1311 – Meeting Headlines</a></p> <p><a href="#">OPSG 26c 2511 – Meeting Headlines</a></p>
	Testing Advisory Group (TAG)	08/11/2019 27/11/2019	<p>The TAG met twice in November 2019. The minutes are classified as Amber.</p>
	Modifications Question Hour	11/11/2019	<p>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.</p>
<b>BEIS</b>	Implementation Managers Forum (IMF)	28/11/2019	<p>These transitional groups continue to meet on a regular monthly basis. Further information on all transitional meetings is available in the Transitional Governance</p>
	Smart Metering Delivery Group (SMDG)	14/11/2019	

<sup>10</sup> [MP083 'Change Coordination'](#)

<sup>11</sup> [SECMP00062 'Northbound Application Traffic Management - Alert Storm Protection'](#)

<sup>12</sup> [SECMP00067 'Service Request Traffic Management'](#)

Category	Meeting	Meeting Date(s)	Summary of Events
	Technical and Business Design Group (TBDG)	20/11/2019	Update paper, available as part of the monthly SEC Panel paper pack.
<b>DCC</b>	Test Design and Execution Group (TDEG)	12/11/2019	<p>TDEG provided an update on:</p> <ul style="list-style-type: none"> <li>• Progress with R2.0 Single Band Communications Hub</li> <li>• R2.0 Dual Band Communications Hubs currently have an overall status of red</li> <li>• IOC Device Model Combination Testing</li> </ul>

***Table 9: Meetings hosted and attended by SECAS***