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## Operations Report – December 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 December 2019.

### 2. Recommendation

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

Fiona Chestnutt

SECAS Team

10 January 2020

#### 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 four Accessions completed in December:

Organisation	Party Category
CNG Retail UK Limited	Small Supplier
Equinicity Limited	Small Supplier
Forbury Assets Limited	Electricity Network
UK Healthcare Corporation Limited (trading as D Energi)	Small Supplier

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

#### 3.2 Events of Default

Five SEC Parties were in Default in December. Two had not paid their DCC charges on time, and consequently ceased trading, one is in continuing Default from the previous month, and one other has been in ongoing Events of Default for over 12 months. The SEC Panel agreed at the December Panel meeting that Snowdrop Energy Limited should be expelled, and upon its licence being revoked by Ofgem on 14 January, SECAS will expel the Party from the SEC.

#### 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, no SEC Parties have completed the UEP.

#### 3.4 Testing Update

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

Since the last Panel meeting, SECAS has not been informed of any SEC Parties having successfully completed SREPT.

##### **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 one SEC Party having successfully completed SMETS1 Eligibility Testing. Further details can be found in Confidential Appendix A.

### 3.5 Membership

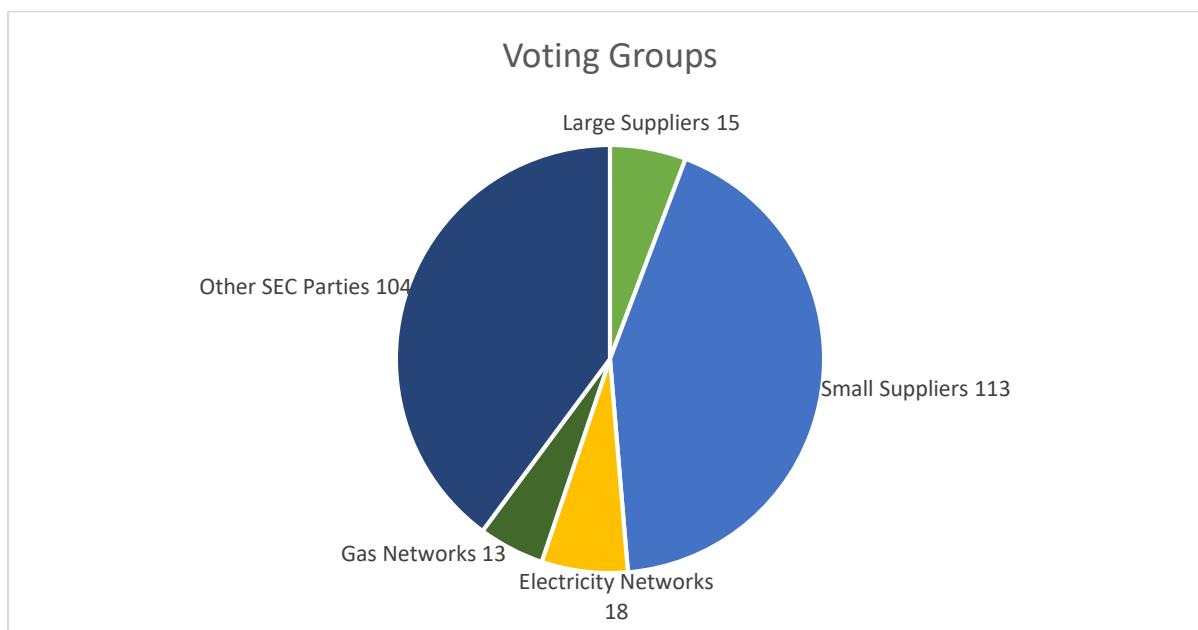
The table below shows the number of Parties each month who:

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

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

**Table 2: SEC Party Statistics**

At the end of the reporting month, there were 334 Parties to the SEC representing 264 Voting Groups, including the DCC.



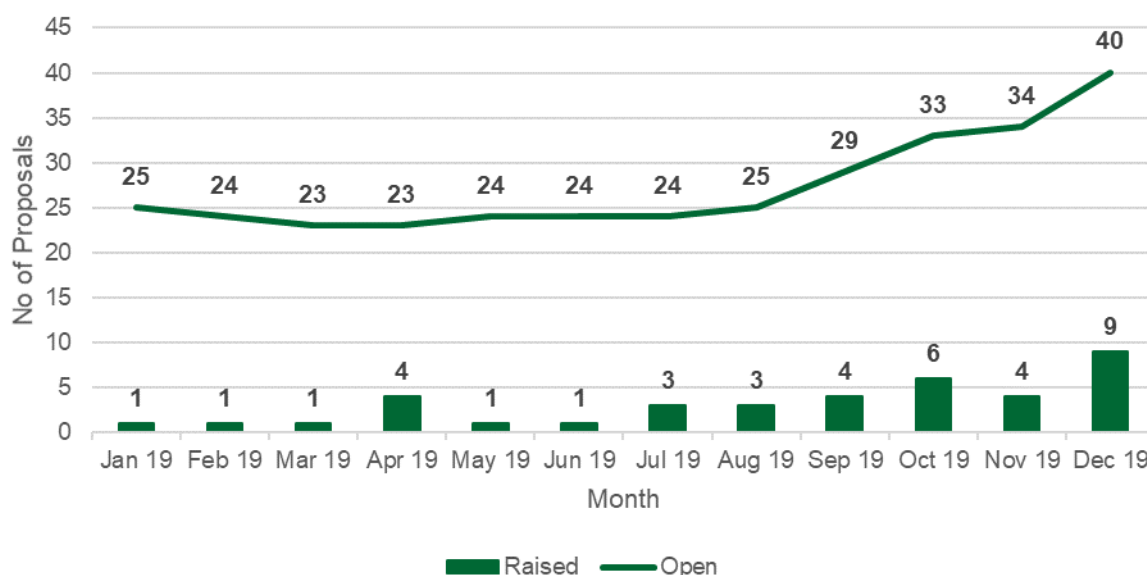
**Figure 1: Breakdown of SEC Party Voting Groups (excluding DCC)**

## 4. Monthly SECAS Highlights

### 4.1 Change Management Update

- This continues to be a busy time for SEC Change, with 25 open proposals undergoing the Refinement Process and 12 undergoing the Development Stage. Several proposals are significant changes which require a much larger amount of our time and effort to progress, 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'](#).
- We have seen a significant spike in the number of proposals raised in recent months, as summarised in the graph below. 19 new proposals were raised in the last three months of 2019, including nine in December.

We have surpassed 100 modifications which have been raised since the process began in 2016. Conversations with industry representatives suggest this increase could continue into 2020. To ensure timely decisions can be made for effective implementation, we are reviewing which proposals need to be progressed quicker and will keep the Panel updated.



**Figure 2: Proposals raised and open (pre-decision) during 2019**

- A session with the DCC on the lessons learnt from the November 2019 SEC Release is scheduled for 16 January. The DCC is intending to use the outputs from this to inform a response to the SEC Panel's August 2019 letter on DCC Assessment timescales, which is expected to be provided ahead of the February 2020 Panel meeting.
- We are now working to prepare the redlining for the February 2020 SEC Release on 27 February. We are looking to publish this ahead of time, but this will depend on any BEIS designations expected to be directed in the interim.
- We have been working with the DCC to plan the scope of the SEC System Releases in 2020 and 2021, and an update is being provided to the Panel this month.

## 4.2 Technical Support Update

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

List name	SEC Obligation	Update
<a href="#">Central Products List (CPL)</a>	<b>SEC Section F2.1</b> The Panel shall establish and maintain a list (the " <b>Central Products List</b> ")	Five new CPL versions were created in December, which included eight SMETS2 and seven SMETS1 new entries.  The CPL Enhancement Project is in its final stage and is reported and monitored via the Technical Architecture and Business Architecture Sub-Committee (TABASC).  The investigation for potential alternatives to sign CPL submission forms in order to verify the authenticity of a Supplier/DCC, is ongoing.  The November 2019 Release Technical Specification functionality was also added to the CPL New Entry Form effective from 29 November 2019. This includes the addition of the following valid fields: <ul style="list-style-type: none"> <li>• SMETS Version 4.2</li> <li>• CHTS Version 1.3</li> <li>• GBCS Version 3.2</li> </ul>
<a href="#">SMETS1 Pending Product Combinations List (PPCL)</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> ".	The DCC did not provide a new version of the SMETS1 PPCL for publication in December.
<a href="#">SMETS1 Eligible Product Combinations List (EPCL)</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> ".	The DCC provided a new updated SMETS1 EPCL on 20 December 2019 for publication on the SEC website.
<a href="#">Deployed Products List (DPL)</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> "	Seven new DPL versions were published in December.

**Table 3: The SEC Product lists**

- We are continuing to action the next steps which were identified from the Effectiveness Review questionnaire analysis. Several actions were raised and are expected to be completed by end 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 TABASC engagement with Elexon and Ofgem on the Market-Wide Half Hourly Settlement, where feedback was provided about timeframes and impacts on the SEC.
- We provided the TABASC with a problem statement and high-level assessment of options for minimising Alerts lost during DCC outages. Continued development of each option will be considered at the next TABASC meeting in February.
- We provided the following Project Initiating Documents to the TABASC for:
  - transitioning the issue management process from BEIS to SECAS
  - supporting the Market-Wide Half-Hourly Settlement project whereby the TABASC agreed participation in the Architecture Working Group until completion of the functional requirements for interfaces and data transfer, subject to confirming funding arrangements
  - supporting Market Structure Impacts (changes to other Codes that could impact the SEC and smart metering) specifically focusing on [BSC Modification P379 'Multiple Suppliers through Meter Splitting'](#). The TABASC agreed that the overall participation in industry changes and the proposed activities set out specifically for BSC Modification P379 engagement.
- We supported the Testing Advisory Group (TAG) during its review of the SMETS1 Middle Operating Capability (MOC) Migration Testing Depth and Breadth Documents, for each Device Model. The TAG highlighted that it does not want active meters to be migrated before the dormant and mixed Devices and asked that SECAS assist with managing this request with the DCC, along with escalating the issue to the Panel if this becomes necessary.
- We supported the TAG's assessment of three testing approach Depth and Breadth documents relating to the SMETS1 Final Operating Capability (FOC) for solution, migration and regression testing. All three documents have now been approved ahead of the start of FOC testing.
- SECAS has had initial discussions with the DCC regarding the 'digitalisation' of the TAG, which would involve providing documents for approval using a new platform which supports the collaborative review and development of such documents. SECAS will investigate the options for doing this and present the findings to the TAG and the Panel for discussion and agreement.
- We are supporting the DCC in the analysis and resolution of Comms Hub exceptions.
- 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 by carrying out the Operational Metrics Review project to assess the relevance of the current Performance Reporting regime and propose improvements.
- We are supporting OPSG in the development and implementation of the 'Party Differences' process.

- We are supporting DCC in the submission of proposals to change the Service Request Forecasting process.
- We are supporting OPSG in the governance of SMETS1 migration volumes.

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

- We hosted one Smart Metering Key Infrastructure Policy Management Authority (SMKI PMA) meeting and one Security Sub-Committee (SSC) meeting this month.
- An overview of User assessment activity is provided below:
  - Eight Fieldwork Assessments completed;
  - One first stage validation of a Full User Security Assessment (FUSA) completed;
  - One Assurance Status set (FUSA);
  - One Assessment prepared for SSC review; and
  - 75 Parties currently being assessed.
- We presented the SMKI PMA Risk Register at the December meeting and noted amendments to be updated for the next quarterly review.
- We published v1.10 of the [Agreed Interpretations document](#) on 16 December 2019, which included a new section 14 to provide an Agreed Interpretation and voluntary guidance on disclosure and handling of material security vulnerabilities.
- We also published v1.19 of the [Security Controls Framework \(SCF\)](#) on 16 December 2019 which included updates to the Security Self-Assessment Questionnaire in Part 2 Appendix G. These include new questions to cover SMETS1 and security Incidents.
- Following the updates to the Self-Assessment Questionnaire, we published v1.19 of the [Security Assessment Validation Workbook](#) on 16 December 2019 to include the updated tab in the workbook which is now required for future Self-Assessment response submissions.
- We issued a notice to Suppliers on 16 December to make them aware of the updated Security and Privacy Assessment rate cards for 2020 due to annual Retail Price Index (RPI) adjustments.
- On 17 December 2019 we published V1.02 of the [CPA SSC Guidance on Device Refurbishment](#). Within this update, a new Use case 002 'Identifying Installed SMKI Certificates', has been added to build on Use case 001 by adding functionality to allow the Responsible Supplier to be identified by reference to the Public SMKI Organisation Certificate on the Device. This will, subject to commercial arrangements, allow the Meter Asset Provider (MAP) to arrange the return of a refurbished Device to the Responsible Supplier for installation.
- We published V2.7 of the [Privacy Controls Framework](#) on 17 December 2019, which, as well as a number of house-keeping updates, included updates to section 7.3 – Random Sample Privacy Assessments, to give guidance on how they will be considered; and updates to I1.2, I1.3, I1.4, I1.5 to facilitate new consent authentication methodologies.
- We contacted Supplier Parties to request their remediation plans for certain Devices with expiring Commercial Products Assurance (CPA) certificates due to expire on 28 February 2020.

#### 4.4 Party Support Update

- We have added more users to CodeWorks, the online platform hosting the Digital SEC. The SEC Panel Draft Budget consultation has been issued via CodeWorks which will make it easier for SEC Parties to respond.

We now have 136 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 Default with two SEC Parties who failed to pay their DCC charges and ceased trading.
- The Website Enhancement Development project is underway with the aim to improve the website content by the end of January 2020.
- We have been working through our Guidance Notes available on the website, to ensure they are up-to-date, user-friendly and provide SEC Parties with clarity and useful information.
- We have organised three events so far for 2020; [Spotlight on the SEC](#) event on Thursday 23 January, the [Introduction to the SEC](#) on 10 March, and the [Annual SEC Engagement Day](#) on 16 July. Each event will provide attendees with a varied agenda, covering relevant issues from an array of stakeholders.

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

- The Code Administrators take turns to chair the CACoP Forum each year. The Grid Code, managed by National Grid, held the chair in 2019. The Independent Gas Transporters Uniform Network Code (iGT UNC), managed by Genserv, will be the chair in 2020, and the handover has been completed ahead of the January CACoP Forum meeting on 21 January.
- The CACoP Forum has reviewed the feedback received at the Engagement Day. As a result, it has suggested what Code Administrators can do in response, and therefore we have agreed a number of prioritised actions that we plan to take. The Forward Work Plan for 2020 will be discussed and agreed at the January Forum meeting.
- We continue to engage with the other CACoP members over a number of cross-cutting issues. We have now received a response from 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 are taking forward the changes needed.

### 5. SECAS Time Devoted by Service Area

The total number of resource days in December 2019 was **500**. The division of effort within the reporting month is shown at Driver level below:

	Driver	Days (rounded)
<b>Services</b>	Committee Support	94
	Security and Privacy	83
	Change Management	109
	Party Support and Engagement	66
	Technical and Operational activities	89
<b>Projects</b>	Smarter Markets	1



	Annual Security Obligations	(0)
	BAD/TAD	0
	Security Threats	0
	Data Quality	7
	Release Management	0
	SEC Digitisation	2
	CPL Enhancement	0
	TSIRS Transfer	1
	Operational Metrics Review	38
	SEC Document Review	9
<b>Grand Total</b>		<b>500</b>

**Table 4: 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 1,265 email enquiries to the various SECAS mailboxes in December 2019.

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

	Jan 19	Feb 19	Mar 19	April 19	May 19	Jun 19	Jul 19	Aug 19	Sept-19	Oct 19	Nov 19	Dec 19
Accessions	59	56	50	28	32	23	14	6	14	40	74	114
Sub-Committees	342	298	331	355	304	298	127	262	203	157	272	178
Modification Consultation Correspondence	9	2	4	7	11	6	4	2	7	2	2	5
SEC Party Contact detail changes	28	39	38	29	41	43	15	40	57	172	120	132
General Queries	44	41	40	61	48	39	37	32	41	71	61	93
Panel & Board Correspondence	48	45	65	46	52	89	27	43	36	24	25	7
Modifications	534	411	423	358	280	291	389	310	425	476	550	311
User CIO Assessments	475	500	589	578	962	955	984	717	606	692	619	303
Engagement Days	17	87	33	27	39	15	137	41	6	126	17	37
Other	76	89	102	55	79	94	144	84	98	69	92	85
<b>Total</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>	<b>1,265</b>

**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	15
Independent Chair	2
Large Supplier	42
Network	12
Ofgem	4
Other SEC Party	24
SEC Panel	6
Small Supplier	28
Sub-Committee Member	2
<b>Total number of users</b>	<b>136</b>

**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
<b>SEC Governance Meetings</b>	SEC Panel	13/12/2019	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	13/12/2019	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)	12/12/2019	The TABASC's regular monthly meeting. The meeting headlines are now available via the link below. <a href="#">TABASC 49 1212 - Meeting Headlines</a>
	Change Board	20/12/2019	The Change Board met to discuss MP086, MP089 and MP091. The meeting headlines are now available via the link below. <a href="#">SECCB 37 2012 - Meeting Documentation</a>
	Change Sub-Committee (CSC)		The CSC did not meet in December 2019.

Category	Meeting	Meeting Date(s)	Summary of Events
	Working Group <ul style="list-style-type: none"> <li>• <a href="#">MP082 '2.4GHz Channel Management'</a></li> <li>• <a href="#">MP083 'Change Coordination'</a></li> <li>• <a href="#">MP084 'Other User Panel Seating Amendment'</a></li> <li>• <a href="#">MP088 'Power to raise modifications'</a></li> <li>• <a href="#">MP092 'New Planned Maintenance methodology'</a></li> <li>• <a href="#">SECMP0007 'Firmware updates to IHDs and PPMIDs'</a></li> </ul>	4/12/2019	Two Working Group meetings took place last month.  Recordings of both meetings can be downloaded from the links below:  <a href="#">Monthly Working Group Meeting - December</a>  <a href="#">SECMP0007 Working Group meeting</a>
	Security Sub-Committee (SSC)	11/12/2019	One SSC meeting took place in December 2019. The meeting headlines for the meeting can be found below.  <a href="#">SSC 91 1112 - SSC Meeting Headlines</a>
	SMKI PMA	17/12/2019	The SMKI PMA held one meeting last month and the meeting headlines can be found below.  <a href="#">SECPMA 64 1712 - Meeting Headlines</a>
	Operations Group (OPSG)	03/12/2019	The OPSG met once in December.  The meeting headlines are available via the link below.  <a href="#">OPSG 27 0312 - Meeting Headlines</a>
	Testing Advisory Group (TAG)	16/12/2019	The TAG met once in December 2019. The minutes are classified as Amber.
	Modifications Question Hour	9/12/2019	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 (IMF)	17/12/2019	These transitional groups continue to meet on a regular monthly basis. Further

Category	Meeting	Meeting Date(s)	Summary of Events
	Smart Metering Delivery Group (SMDG)	12/12/2019	information on all transitional meetings is available in the Transitional Governance Update paper, available as part of the monthly SEC Panel paper pack.
	Technical and Business Design Group (TBDG)	18/12/2019	
<b>DCC</b>	Test Design and Execution Group (TDEG)	10/12/2019	<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> </ul>

**Table 7: Meetings hosted and attended by SECAS**