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SEC Panel Sub-Committee Report

1. Purpose

This paper provides the Panel with an update on recent activities from the Panel Sub-Committees. It highlights the key issues discussed and details specific points the Sub-Committees would like to bring to the Panel's attention. The Panel is requested to note the updates.

2. Operations Group

2.1 Operations Group Meeting Highlights

SMETS1 Live Service Criteria – Active Honeywell Elster Meters

The OPSG agreed to endorse the recommendation to the Panel to add the Elster Active Device Model Combination (DMC) to the Eligible Product Combinations List (EPCL) (Panel agenda item SECP_77_1402_04). However, the OPSG noted that LSC6 relating to service stability be categorised as Amber; due to the recent major incidents across the DCC service. The DCC is confident that enough monitoring and protocol is in place to mitigate the risk on the service by SMETS1 migrations.

CSPN Update

The DCC presented an action plan for remediation of CSP N performance. The DCC has set a target of end of March to complete several planned activities to improve the performance and service. The OPSG requested that the DCC explain the statement that an increased volume of on-demand reads from a single User is impacting Install and Commission performance.

Alerts

The DCC has made good progress on its development of remediation plans. However, alert volumes continue to increase in all CSP regions. Potential fixes have been identified for both CSP C&S Communication Hubs manufacturers that would resolve over 80% of the alerts in that region. The DCC has yet to confirm the dates to develop, test and implement the CH firmware.

There is also a concern that the alerts in CSP N are affecting the DCC service more than the alerts in CSP C&S. Investigations are ongoing on the alerts in CSP N but there have been difficulties encountered replicating the main issue under test conditions.

The OPSG has requested that the DCC provide an update on the capacity status of handling alerts including the impact on the DSP. Further, the OPSG requested that the DCC include SMETS1 in its reporting of alerts. The DCC is actively monitoring and pursuing investigations but the OPSG noted the increase in Incidents caused by alerts.

Aged Incidents

The DCC reported that there had been a reduction in four of the five categories of aged incidents assigned to Service Users. The biggest reductions have been in Users omitting or adding the incorrect DNO Certificate on installation of a meter ('Incorrect or no credentials (DNO)') and 'Incorrect CH variant installed'. The DCC has assigned leads within Service Management to each category.

However, it has been highlighted that the 'Incorrect or no credentials (DNO)' only represent the incidents raised by one DNO and is not reflective of the extent of this issue. The DCC are producing a report by the end of February to highlight all the meters affected.

CH Exceptions

The DCC are developing remediation plans for the major categories of Communication Hub (CH) exceptions and have assigned leads for each region's exceptions. However, the volume of CH exceptions continues to rise.

Issues with 'Incomplete or no address' continues to be the biggest exception. A workaround introduced by the DSP in August 2019 has not been effective due to unreliable industry data. Further solutions are being investigated.

CH Returns & OMS Update

The OPSG noted that the volume of CHs being returned only represents 11% of the CHs being decommissioned. The OPSG was concerned that there has been no fault found in any of the 300 returned CHs. The DCC has confirmed it will carry out an audit of the triage process.

The OPSG has reiterated the request for the new Order Management System (OMS) requirements. The DCC has started the Impact Assessment to support the administration of bulk CH returns, CSP C&S has completed their assessment with CSP N outstanding.

Service Performance

Code Performance Measure (CPM) 1 was below minimum Service Level. This CPM has not been met in 11 out of the last 12 months. The Service Provider Performance Measure (PM) 2, delivery of firmware payloads, has been a consistent factor. The DCC presented remediation plans for all CSP regions to the OPSG with a target of March to meet PM2.

Operational Metrics Review Project

The Operational Metrics Review Project has completed the review of the key performance documents, Performance Measure Methodology (PMM) and Performance Measurement Exception List (PMEL). A second workshop and trial have also been run, with a target of providing the first draft report to OPSG on 17 February.

The OPSG approved the Evaluation Framework which will consolidate User feedback with analyses undertaken by the project team. The final report will be submitted by the end of April.

Process for addressing Party differences

The OPSG approved the Rules of Engagement for the party differences process. The request form and information regarding the process, will be published on the SECAS website.

3. Security Sub-Committee and SMKI PMA

3.1 Assurance Status Decisions

The Security Sub-Committee (SSC) reviewed one initial Full User Security Assessment (FUSA) and two second or subsequent FUSAs in January 2020, setting one assurance status and two compliance statuses respectively as a result. Details can be found in confidential Appendix A.

3.2 Verification Assessments

The SSC reviewed no Verification User Security Assessments (VUSAs) in January 2020.

3.3 Director's Letters

The SSC reviewed no Director's Letters in January 2020.

3.4 Security Self-Assessments

The SSC reviewed five Security Self-Assessments in January 2020.

3.5 SSC Highlights

Network Operator Obligations Reminder

SSC reminded Network Operators (including Independent Gas Transporters) of the relevant SEC Obligations to ensure their Smart Meter Information Organisation Certificates (SMKI) Certificates are in the SMKI Repository.

SSC Projects

A number of SSC projects have kicked off in line with annual security obligations. These include the Security Architecture Document (SAD) review and the End-to-End Risk Assessment. A planned Security Incident Management (SIM) exercise will take place on 27 February 2020.

SMETS1 Enrolment & Adoption

The DCC presented updates regarding the different aspects of SMETS1 enrolment, including the DCC's remediation plan; CIO report updates; functional testing; SMETS1 alert storms; negative security testing; SMETS1 Certificate issues and Penetration Testing of Systems Integration Testing (SIT) A and User Interface Testing (UIT) A.

Meter Triage Use Cases and Guidance

SECAS published the latest version v1.04 of the [CPA SSC Guidance on Device Refurbishment](#) relating to Resetting the Home Area Network (HAN) on 24 January 2020. The SSC agreed to amend Sections 5.1 and 7.3 to clarify that Use cases 001 and 003 apply only to meters that have not completed the Commissioning process where 'not completed Commissioning' means that the Devices have not been listed on the Smart Metering Inventory (SMI) as 'Commissioned' by the DCC.

CPA remediation

The SSC has monitored progress of firmware upgrades via remediation plans where CPA Certificates have been withdrawn. The SSC has notified SEC Parties that certain L+G GSME Devices whose CPA Certificate was withdrawn in 2019, will be removed from the CPL on 8 April 2010 allowing a further three months for Suppliers to upgrade or replace the affected Devices.

SSC Quarterly Standards and Guidance Review

The SSC was presented with an overview of changes to standards over the most recent quarter. Changes highlighted will be published on the SEC website.

TABASC Effectiveness Review

The SSC was presented with the results of the Effectiveness Review carried out by the Technical Architecture and Business Architecture Sub-Committee (TABASC) in September 2019, which included the actions that will be taken by SECAS to address the feedback.

New Draft Proposals and Modification Proposals

The SSC requested further updates on the progression of [DP107 'SMETS1 Validation of SRV 6.15.1'](#), [DP108 'SSI Job Type Role for SRO/ARO'](#), [DP109 'ADT and Exit Quarantine file delivery mechanism'](#) and [DP110 'Aligning SEC Appendix D with DCC Processes'](#) due to the potential impacts on security.

3.6 SMKI PMA Highlights

DCC Operational Recovery Procedures for Users

The SMKI PMA was presented with the DCC-produced guidance document on SMKI operational recovery procedures to Parties, as required by SEC Appendix L, Section 4. The SMKI PMA agreed that it was content with the guidance document, subject to the DCC changing the title of the document to align with the reference in SEC Appendix L, Section 4, e.g. "DCC Operation Recovery Procedures for Users".

SMKI Standards and Guidance Review

The SMKI PMA considered options to replace SEC references to the discontinued or changed Good Practice Guides (GPGs) 13, 43, 45 and 46, as set out by the National Cyber Security Centre (NCSC), and agreed to adopt bespoke guidance based on the security principles set out in the GPGs and other available guidance, but focused on Smart Metering; a SEC Modification will be raised to update the SEC guidance references.

TABASC Effectiveness Review

The SMKI PMA was presented with the results of the Effectiveness Review carried out by the Technical Architecture and Business Architecture Sub-Committee (TABASC) in September 2019, which included the actions that will be taken by SECAS to address the feedback.

New Draft Proposals and Modification Proposals

The SMKI PMA requested further updates on the progression of [DP107 'SMETS1 Validation of SRV 6.15.1'](#), [DP108 'SSI Job Type Role for SRO/ARO'](#) and [DP110 'Aligning SEC Appendix D with DCC Processes'](#) due to the potential impacts on SMKI.

4. Technical Architecture and Business Architecture Sub-Committee (TABASC) and Testing Advisory Group (TAG)

4.1 TABASC Highlights

Extending Durations of 2G Coverage / 4G-LTE Communications Hubs & Test Automation

The DCC provided the TABASC with an update on activities to mitigate the risk of Communications Hubs potentially not reaching the end of their commercial life due to lack of supporting 2G services,

and their plans on Test Automation. Initial DCC activity focussed on providing a 4G capable Communications Hub for Central & South. Future activities will consider the North and SMETS1 requirements.

DCC has issued an RFP to provide costs for Device test automation in SIT. The TABASC has requested further detail of the business processes being considered for automation and sight of the business benefit case surrounding its implementation and use.

Alerts Lost during DCC Scheduled Maintenance – EUK problem statement

SECAS provided the TABASC with several options and their effectiveness in addressing the issue for minimising Alerts lost during DCC Scheduled Maintenance. Further work is required by the DCC to understand the current reliability of the HAN communications to ascertain whether resolving the EUK problem as stated, would deliver the intended benefits, or whether there will still be a problem with delivery of critical Alerts. The TABASC members will be asked to confirm priority Alerts for consideration in developing design options.

Market Wide Half-Hourly Settlements project

The TABASC noted the progress update and the potential implications on the SEC with regards to Ofgem's Market Wide Half-Hourly Settlements project. The TABASC provided views on the current Target Operating Model, specifically on the 'Smart Data Services' mechanism and Ofgem's intention for the Supplier, or an agent, to be able to perform in this role. It was noted that the impact to the SEC depends on the identities of this party and the MDR (Meter Data Retrieval), however TABASC has significant concerns with some of the options and intends to raise those concerns with Ofgem and the working group.

Review of Export Requirements of Smart Project Initiation Document

The TABASC agreed to undertake the project to review smart export requirements with the DCC and relevant stakeholders to understand the interactions of the Import Supplier and Export Supplier User Roles, and the Service Requests available via the DCC in more detail. Workshops will be held shortly to collect information from key stakeholders so that the current workings of the business processes can be confirmed and those not possible to be executed via DCC are identified.

New Draft Proposals (DPs) and Modification Proposals (MPs)

The TABASC requested further updates on the progression of the following new DPs and MPs due to the potential impacts on the technical and/or business architecture.

- [MP099 'Incorporation of multiple Issue Resolution Proposals into the SEC - Batch 4'](#)
- [DP100 'Service Response Traffic Management'](#)
- [MP102 'Power Outage Alerts triggered by an OTA firmware upgrade'](#)
- [MP105 'Sending SR11.2 to Devices in Suspended State'](#)
- [DP106 'CHISM update for Unknown WAN Variant'](#)
- [DP107 'SMETS1 Validation of SRV 6.15.1'](#)

DP098 Non-System Impacting IRPs

The TABASC was provided with the list of 20 Non DCC System impacting IRPs included in the draft proposal. The TABASC requested a further discussion to agree whether the IRPs should just be applied to the latest version of the technical documents being implemented by BEIS or should also include in earlier versions.

4.2 TAG Highlights

The Testing Advisory Group (TAG) met three times during the reporting period to discuss the following topics:

SMETS1 IOC

The TAG reviewed and approved the Initial Operating Capability (IOC) Service Request Variant Testing (SRVT) Depth & Breadth document relating to Aclara dormant active and mixed installations.

SMETS1 MOC

The TAG reviewed and approved:

- the Middle Operating Capability (MOC) regression Depth and Breadth Document relating to Morrison Data Services (MDS) installations;
- the MOC migration Depth and Breadth Document relating to Morrison Data Services (MDS) installations;
- the MOC MDS migration Test Completion Report relating to active & dormant installations; and
- the MOC MDS SIT Test Completion Report relating to active & dormant installations.

June 2020 SEC Release

The DCC presented its initial proposals for the June 2020 SEC Release testing approach, including engagement, testing and governance timings.

The TAG raised significant concerns regarding the timing and duration of key governance steps, along with the potential for any delay to the June 2020 SEC Release to have an impact on SMETS1 MOC and FOC activities. The TAG will not accept truncated governance timescales and will need to be satisfied that any inter-programme dependencies or risks can be managed, and that satisfactory mitigations are in place. SECAS is working with the DCC to identify the best possible approach for further discussion with the TAG.

Faster Switching

The DCC presented an introduction to switching programme and the expected impact on the SEC and DCC Systems. The switching programme is looking to achieve the SIT entry milestone for testing the interface between DSP systems and the Centralised Switching Service (CSS) in April 2020. The TAG was generally supportive of the approach and timescales outlined, and the DCC agreed to return with updates in February and March. The DCC was asked to provide the TAG with a document map along with information which will show the technical or architectural details of the changes to the DSP registration interface. This information will be used to assess the areas of the interface which carry the highest risk and will inform the testing approach to be agreed between the TAG and the DCC.

Core Release 1.1 (SMETS1)

The DCC advised that there have been a number of DCC Change Requests (CRs) raised to provide additional functionality for a variety of reasons, some to enable the DCC to migrate more SMETS1 Devices into the DCC solution, others to resolve issues identified in the production environment. The five most urgent CRs have been bundled into what the DCC are calling 'DCC Core Release 1.1', which comprises:

- A change to the way that migration processing is carried out to allow the DCC to enable better migration of dual fuel installations;

- A change to enable migration of installations with multiple supplier IDs;
- The removal of file sequencing to reduce the risk of issues affecting Measurement Control Centre (MCC) performance;
- A change to pre-migration check rules to relax Gas Smart Metering Equipment (GSME) serial number checks for Itron and Aclara devices; and
- The implementation of release 5.8.1 of the Smart Meter System Operator (SMSO), which includes support for EE roaming and allows DCC to manage Vodafone capacity constraints.

All changes will be implemented as part of DCC core release 1.1, with three changes required to the Transition and Migration Approach Document (TMAD) and one change required to the S1SR.

5. Recommendations

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

Rebecca Jones

SECAS Team

7 February 2020

Attachments:

- **Appendix A: User Security Assessments – Identified Non-Compliances (RED)**