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Operations Report – March 2020

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 March 2020.

2. Recommendation

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

Fiona Chestnutt

SECAS Team

9 April 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 two Accessions completed in March:

Organisation	Party Category
Arto Energy Limited	Small Supplier
P3P Energy Supply Limited	Small Supplier

Table 1: Parties who have acceded to the SEC

3.2 Events of Default

Four Parties entered into Event of Default in March 2020 for not paying their DCC Charges. Three Parties have now paid their DCC Charges and are no longer in Default, and one Party has ceased trading.

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, three SEC Parties have completed the UEP.

SEC Party	Party Category	DCC User role(s)	Date of UEP completion
Euston Energy Limited trading as Northumbria Energy	Small Supplier	Import Supplier Gas Supplier	01/04/2020
Symbio Energy Limited	Small Supplier	Import Supplier	25/03/2020
Valda Energy Limited	Small Supplier	Export Supplier Gas Supplier Import Supplier	16/03/2020

Table 2: UEP Completion

3.4 Testing Update

SMKI and Repository Entry Process Testing (SREPT)

Since the last Panel meeting, SECAS has been informed of two 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 three 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.

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.

	Mar 19	Apr 19	May 19	Jun 19	Jul 19	Aug 19	Sep 19	Oct 19	Nov 19	Dec 19	Jan 20	Feb 20	Mar 20
Accessions	3	3	1	0	0	2	1	1	4	4	2	2	2
In Default	5	4	4	4	6	4	4	5	5	5	2	2	4
Withdrawals	0	0	0	0	0	0	0	0	0	0	0	0	0
Expulsions	1	0	0	0	1	0	2	1	1	0	1	1	0

Table 2: SEC Party Statistics

At the end of the reporting month, there were 332 Parties to the SEC representing 264 Voting Groups, including the DCC.

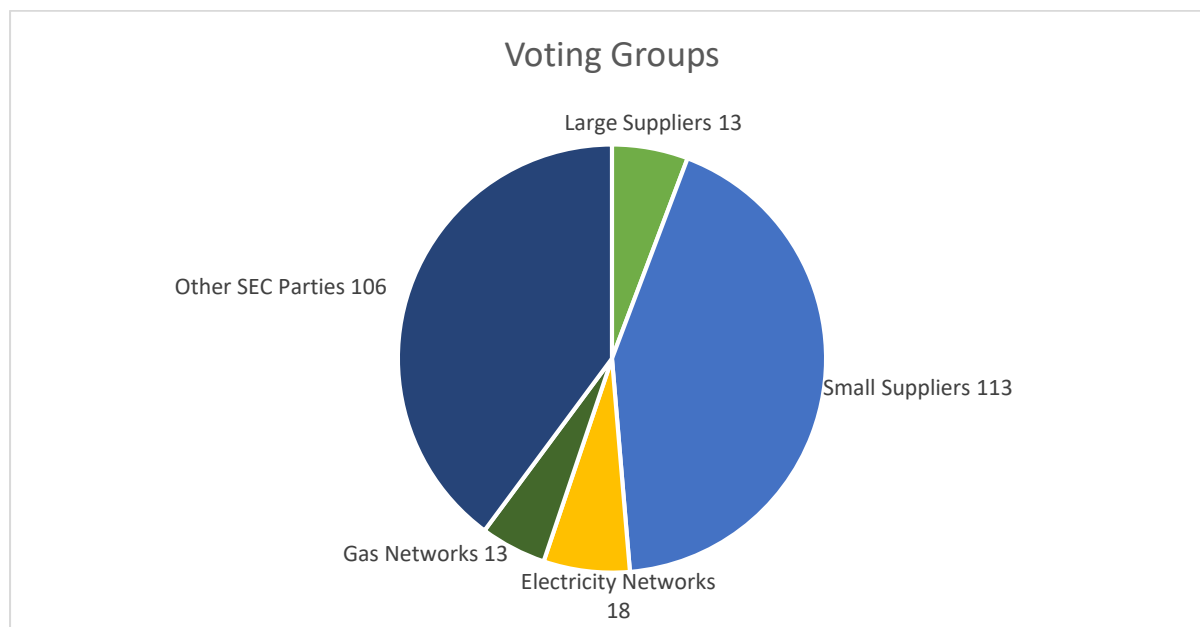


Figure 1: Breakdown of SEC Party Voting Groups (excluding DCC)

4. Monthly SECAS Highlights

4.1 Change Management Update

- We currently have 54 open proposals going through the modifications process, with modifications coming in faster than we can progress them to decision. To ensure the Critical and High priority modifications can be given the required attention, we have de-prioritised the Low priority modifications. The timetables update paper this month reflects this decision.

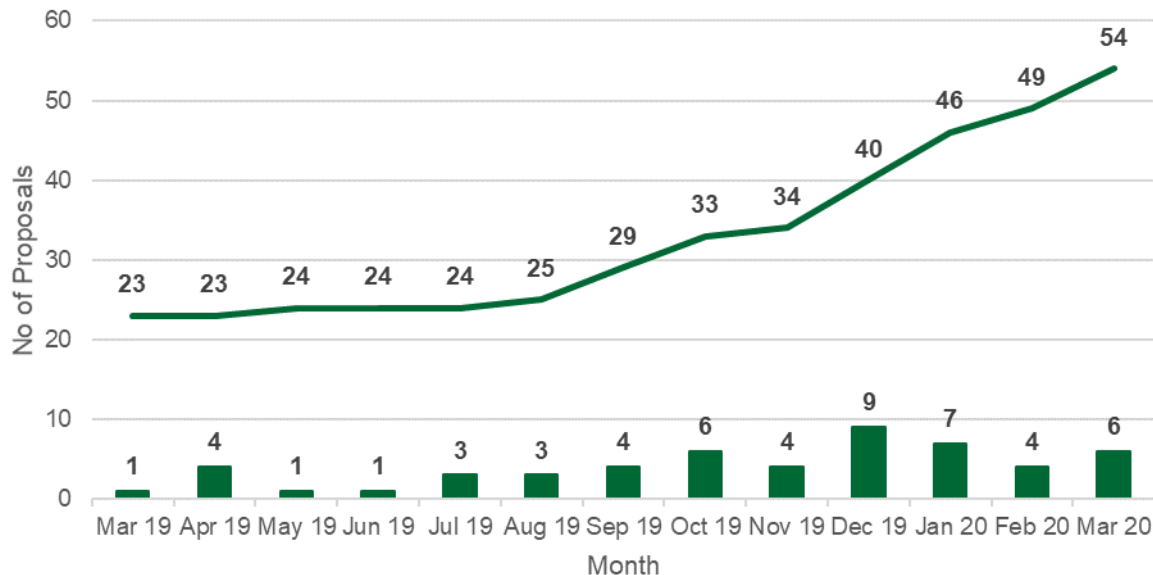


Figure 2: Proposals raised (bars) and open (line) in the last 12 months

- The DCC is providing weekly updates on the progress of open DCC Assessments, which includes the expected dates where responses will be received and rationale for any delays. We are using this information along with the prioritisation matrix to inform the timelines for modifications.
- The DCC is proceeding with testing for the June 2020 SEC Release, and is currently on track to complete by the dates agreed in the Release Implementation Document (RID). An ad-hoc Panel meeting is being scheduled for 5 May 2020 for the Panel to provide the final go/no-go decision. The Panel's request to move the implementation date forward to 6 May 2020 is with the Authority for decision, and we will update the Panel on any outcome at the meeting.
- We met with BEIS and the DCC to co-ordinate the approach for the November 2020 SEC Release whereby the BEIS-mandated changes are due to be implemented alongside the SEC Release. We are working to ensure governance steps are aligned, and the updates to the SEC technical documents are fully co-ordinated. An update on progress is being presented to the Panel this month.
- We are working to determine whether [SECMP0067 'Service Request Traffic Management'](#) can be included in the November 2020 SEC Release. A Working Group meeting will be scheduled to provide answers to the remaining questions. We await confirmation if we are able to present the Modification Report to the Panel this month. Otherwise, this modification would be expected to fall out of scope of this release and will be deferred to a 2021 SEC Systems Release.

- We have begun discussions with the DCC on the potential scope of the June and November 2021 SEC Releases. We expect the Panel to baseline the scope of the June 2021 SEC Release, on the DCC Systems in June 2020. As part of this, we are working with the DCC to determine clear cut-off dates for when modifications must be approved, in order for these to be included in the Releases.

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 publish on the SEC 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 ")	Five new CPL versions were created in March, which included adding: <ul style="list-style-type: none"> • Ten new SMETS2 Device Models; and • One new SMETS1 Device Model.
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 ".	The DCC did not provide a new version of the SMETS1 PPCL for publication in March.
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 ".	The DCC provided two new versions of the SMETS1 EPCL for publication in March.
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 "	Seven new DPL versions were published in March.

Table 3: The SEC Product lists

TABASC

Due to an increasing need for TABASC engagement and to provide detailed input on DCC activities, we hosted two TABASC meetings this month and conducted a Smart Export workshop with key industry stakeholders.

Additional activities in March included:

- The Smart Export workshop held on 4 March 2020. This discussed the current Export business processes within the smart metering end-to-end solution, to identify the gaps that do not allow for successful execution of the processes. The input from the workshop enabled us to develop problem statements and propose solutions and recommendations to rectify the gaps. These outputs will be provided to the DCC for consideration.
- We are continuing work with the DCC to facilitate the TABASC input on solutions that consider the EUK raised issue and minimise Alerts lost during DCC Scheduled Maintenance.

This included investigation into the current reliability of the Home Area Network (HAN) communications to ascertain whether resolving the EUK problem would deliver the intended benefits.

- We facilitated TABASC's review of several DCC items, including the expanded GBCS Integration Testing for Industry (soon to be known as 'DCC in a Box'), as well as assessing the requirements of the extending duration of 2G coverage, DSP Sandpit and Test Automation for Network Evolution.
- The actions that came out of the Effectiveness Review have been assigned to the relevant owners and we are continuing to monitor and report on these.
- Additional engagement between SECAS, DCC, Ofgem and Elexon has been taken outside formal governance in order to effectively feed into Ofgem's Market Wide Half-Hourly Settlements project. We continue to reflect the TABASC's views and design positions via the relevant means.
- We have collated the TABASC concerns regarding Elexon's [BSC Modification P379 'Multiple Suppliers through Meter Splitting'](#) to highlight the points to the SEC Panel in April for consideration. The aim is to raise the concerns with Elexon and Ofgem to seek commitment for the BSC modification working group to engage Smart Metering in the consideration of all options.

TAG

- SECAS supported the Testing Advisory Group (TAG) during its review of six SMETS1 testing documents required by regulation, including three Testing Approach Documents and three skeleton Test Completion Reports. All the documents reviewed were approved.
- We supported the TAG review of DCC's proposal to conduct concurrent testing of the SMETS1 Uplift 1.1 release alongside the June 2020 SEC Release, including a review of technical and governance risks. Mitigations are in place to ensure that any delay to one release will not result in an unmanageable delay to the other release, with both Testing Approach Documents being updated to reflect this.
- We supported the TAG's assessment of testing environment usage across the DCC's entire programme portfolio. This information is intended to help the TAG assess testing and implementation risks which can be mitigated by carrying out appropriate testing, and to assist the development of future testing approaches.
- SECAS is continuing to work with Ofgem to agree the regulatory backing which will apply to the integration of the Centralised Switching Service (CSS) with the existing DCC Systems. A proposal is due to be discussed and agreed with the TAG prior to seeking the Panel's endorsement of the proposed approach.

OPSG

- We are assisting the DCC in the analysis and resolution of Comms Hub exceptions.
- SECAS is helping the DCC to make 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.
- We are supporting the DCC in consulting with SEC Parties on changes to the Performance Measurement Methodology and Release Management policy.

- SECAS is supporting the DCC in remediation plans for Aged Incidents, helping the OPSG and DCC to scrutinise and discuss the appropriate categorisation for Major Incidents, whilst ensuring DCC implement lessons learnt and continuous improvement.
- We are supporting OPSG and DCC in the development of remediation plans for spurious Alerts. We are engaged in weekly and monthly calls with both DCC and BEIS in the pursuit of agreeing an approach and resolution of the alerts affecting the DCC and User services. We are also assessing the benefits of a Centralised Tracker to provide a view of the impact, behaviour and resolution plans for those Devices generating spurious alerts.
- SECAS is carrying out the Operational Metrics Review project to assess the relevance of the current Performance Reporting regime and propose improvements.
- We are facilitating the implementation and execution of the 'Party Differences' process.
- We are supporting OPSG in the governance of SMETS1 migration volumes and assessment against the Live Service Criteria for Aclara Initial Operating Capability and the governance and management of SEC Releases planned for June and November 2020.
- We are supporting OPSG in monitoring and reviewing the DCC's Business Continuity Disaster Recovery plans. This includes the management and mitigation of the current Pandemic to ensure critical DCC services are maintained.

4.3 Security, Privacy & SMKI PMA Updates

- We hosted one Smart Metering Key Infrastructure Policy Management Authority (SMKI PMA) meeting, two Security Sub-Committee (SSC) meetings, an SSC workshop and the SSC Commercial Product Assurance (CPA) Industry Day this month. It is worth noting that all meetings apart from the SSC meeting on 11 March 2020, were successfully hosted remotely via Teams due to the Coronavirus (COVID19) outbreak, with positive feedback received and continued engagement from attendees.
- An overview of User assessment activity is provided below:
 - 14 Fieldwork Assessments completed;
 - One first stage validation of a Full User Security Assessments (FUSAs) completed;
 - Three first stage validations of Verification User Security Assessments (VUSAs) completed;
 - One Assurance Status set (initial FUSA);
 - One Assurance Status set (follow-up FUSA);
 - Two Compliance Statuses set (FUSAs);
 - Three Compliance Statuses set (VUSAs);
 - Six Security Self-Assessments (SSAs) reviewed;
 - Five Director's Letters approved;
 - 17 Assessment prepared for SSC review; and
 - 63 Parties currently being assessed.
- We facilitated a Small SSC Working Group meeting with regards to Device Refurbishment (Factory Reset) on 26 March 2020 in preparation for the SSC CPA Industry day at the end of the month.

- The SSC CPA Industry Day included presentations from the SSC Chair, BEIS, NCSC and SECAS Security Experts, and generated useful debate and feedback from industry representatives in attendance. A range of topics were covered including Updating the Security Characteristics Threat Maps, CPA Build Standards, Use Case Guidance (Factory Reset), Lessons Learned and Strategic Developments.
- We published [V1.21 of the Security Controls Framework \(SCF\)](#) on 6 March 2020 which included updates to SCF Part 2 to reflect the SEC amendment to the types of Assurance Statuses in SEC Section G8.36 and to provide further clarity for the Security Self-Assessment question changes in Section A.5 and Section J regarding SEC G5.22 and enrolled SMETS1 Devices.
- We published [V1.22 of the SCF on 6 April 2020](#). The amendments were to take into account the implementation of BS7858:2019 standard. We confirmed in the communication that the BSI standard specifies that any screening completed prior to 31 March 2020 remains valid and rescreening is not required. All screening that occurs after 31 March 2020 will be required to align to the BS7858:2019 standard, those organisations using BPSS screening may need to re-align their practices with the new standard.
- We updated the SECAS Validation Workbook V1.10 which now contains the Security Self-Assessment (SSA) remediation plan tab, a factual accuracy challenge tab and updates to the SSA questions as reflected in the SCF.
- We contacted Supplier Parties to request updated remediation plans for certain Devices with expired Commercial Product Assurance (CPA) certificates. In addition, we made some improvements to the reports provided to SSC for review at each meeting, SSC continue to monitor firmware upgrade progress prior to making any decisions to remove expired versions from the Certified Product List (CPL).
- SECAS presented the Risk Register for quarterly review by the SSC at the meeting on the 11 March 2020.
- The 8th Iteration of the SSC Risk Assessment kicked off this month.
- The CIO Procurement activities continue this month with several clarification queries received from interested bidders. The final deadline for bid submissions is 14 April 2020. The procurement activity will then enter the evaluation stage of the process with a short list of the preferred bidders being invited to interview by the Procurement Sub-Group.
- In response to the government guidance relating to Coronavirus (COVID-19), SECAS and the User CIO launched a Virtual model for Security and Privacy Assessment to ensure we avoid any disruption to our services or an impact on SEC compliance for Parties and access to the DCC Smart Metering Systems.

4.4 Party Support Update

- On 10 March 2020 we held our engagement event, the [Introduction to the SEC](#). Over 30 attendees attended from a range of SEC Party categories. The day was a great opportunity for those new to the industry to learn the basics and network with others. SEC Parties were also able to engage with SECAS and provide their feedback. The presentations have been made available for SEC Parties to view [here](#).

- We have continued to register users to [CodeWorks](#), now with over 320 users from a range of Party categories. The CodeWorks competition to win an Amazon Echo Dot attracted a great deal of attention. SEC Parties and their colleagues can access CodeWorks [here](#).
- We have continued to process Events of Default, with four SEC Parties failing to pay their DCC Charges in March. Three SEC Parties subsequently paid their Charges, and one SEC Party has ceased trading.
- The Website Enhancement Development project is underway which will deliver numerous improvements for the website user. Webpage content on a number of pages has already been updated.
- We are in the process of updating the 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 are investigating the use of webinars to present a range of topical updates to SEC Parties, at a time where events will not be possible due to the COVID-19 situation.

4.5 Code Administrator Code of Practice (CACoP) Update

- The CACoP Forum met on 10 March 2020. Code Administrators had a follow-up discussion on the best practice approaches for progressing modifications, and some areas to investigate further have been agreed.
- We continue to await the Proposer of [SECMP0046 'Allow DNOs to control Electric Vehicle chargers connected to Smart Meter infrastructure'](#) to agree the next steps regarding the Distribution Connection and Use of System Agreement (DCUSA) governance changes, before any DCUSA Change Proposal can be progressed.

The Proposer is also reviewing the comments received from the industry in the Refinement Consultation, which may require an Ofgem-led consultation to be performed. As the DCUSA changes will need to be presented to Ofgem alongside the SEC changes, we are working with DCUSA to ensure the most effective progression of the package.

- We raised the potential impact of Balancing and Settlement Code (BSC) modification [P379 'Multiple Suppliers through Meter Splitting'](#) on the SEC, and requested that ELEXON should contact SECAS to involve them in the modification's progression.

5. SECAS Time Devoted by Service Area

The total number of resource days in March 2020 was 686. The division of effort within the reporting month is shown at Driver level below:

	Driver	Days
Services	Committee Support	137
	Security and Privacy	123
	Change Management	169
	Party Support and Engagement	63
	Technical and Operational activities	125
Projects	Smarter Markets	0.27
	Annual Security Obligations	7.00
	Data Quality	10

	SEC Digitisation	8
	TSIRS Transfer	1
	Operational Metrics Review	25
	Market-Wide Half Hourly Settlement	1
	Meter Splitting	2
	Supplier of Last Resort	5
	SEC Document Review	10
Grand Total		686

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

6. Helpdesk Activities

The SECAS Helpdesk receives enquiries via email and telephone. There were 12 telephone enquiries and 2,120 email enquiries to the various SECAS mailboxes in March 2020.

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

	April 19	May 19	Jun 19	Jul 19	Aug 19	Sept- 19	Oct 19	Nov 19	Dec 19	Jan 20	Feb 20	Mar 20
Accessions	28	32	23	14	6	14	40	74	114	48	39	71
Sub-Committees	355	304	298	127	262	203	157	272	178	195	157	239
Modification Consultation Correspondence	7	11	6	4	2	7	2	2	5	9	2	5
SEC Party Contact detail changes	29	41	43	15	40	57	172	120	132	168	153	160
General Queries	61	48	39	37	32	41	71	61	93	121	108	138
Panel & Board Correspondence	46	52	89	27	43	36	24	25	7	15	21	41
Modifications	358	280	291	389	310	425	476	550	311	564	479	554
User CIO Assessments	578	962	955	984	717	606	692	619	303	804	945	736
Engagement Days	27	39	15	137	41	6	126	17	37	53	131	87
Other	55	79	94	144	84	98	69	92	85	76	69	89
Total	1,545	1,850	1,855	1,879	1,537	1,493	1,829	1,832	1,265	2,053	2,104	2,120

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	10
DCC	40
Independent Chair	7
Large Supplier	64
Network	33
Ofgem	5
Other SEC Party	74
Small Supplier	89
Total number of users	322

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	06/03/2020 13/03/2020	An extraordinary Panel meeting to agree a recommendation to BEIS regarding the migration of SMETS1 MDS MOC cohort for inclusion on the EPCL. 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	13/03/2020	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)	05/03/2020 19/03/2020	The TABASC held two meetings in March. Further information on the proceedings of these meetings is available in the public minutes as follows: TABASC meeting 51 – 5 March 2020 TACASC meeting 51X – 19 March 2020
	Change Board	25/03/2020	The Change Board met to discuss MP078. The meeting documentation is now available via the link below. SECCB 40 2503 – Meeting Documentation
	Change Sub-Committee (CSC)	31/03/2020	The CSC met to discuss a number of Draft Proposals that were for decision. The meeting documentation can be found in the link below. CSC 13 3103 – Meeting Documentation

Category	Meeting	Meeting Date(s)	Summary of Events
	Working Group	04/03/2020 16/03/2020	The Working Group met twice in March and meeting documentation can be found using the following links: Monthly Working Group meeting March 2020 SECMP0067 Ad Hoc Working Group meeting
	Security Sub-Committee (SSC)	11/03/2020 25/03/2020	Two SSC meetings took place in March 2020. The meeting headlines for the meetings can be found below. SSC Meeting 96 1103 – Meeting Headlines SSC Meeting 97 2503 – Meeting Headlines
	SMKI PMA	17/03/2020	The SMKI PMA held one meeting last month and the meeting headlines can be found below. SECPMA 67 1703 – Meeting Headlines
	Operations Group (OPSG)	03/03/2020 23/03/2020	The OPSG met twice in March. The meeting documentation is available via the link below. Operations Group meeting 30 Operations Group meeting 30x
	Testing Advisory Group (TAG)	11/03/2020 18/03/2020 25/03/2020	The TAG met three times in March. The minutes are classified as Amber.
	Modifications Question Hour	N/A	There was no Modifications Questions Hour in March.
BEIS	Implementation Managers Forum (IMF)	26/03/2020	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 (SMDG)	12/03/2020	
	Technical and Business Design Group (TBDG)	18/03/2020	
DCC	Test Design and Execution Group (TDEG)	10/03/2020	TDEG continue to meet on a monthly basis and further information can be found in the Transitional Governance Update paper, available as part of the monthly SEC Panel paper pack.

Table 7: Meetings hosted and attended by SECAS